UNIVERSITY OF BORÅS

APPLICATION – HRS4R – UNIVERSITY OF BORÅS

THE EUROPEAN CHARTER FOR RESEARCHERS AND THE CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS

CASE NUMBER: 2019SE474125

SUBMISSION DATE: 15 DECEMBER 2020

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TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: **2019SE474125**

Name Organisation under review: University of Borås, Sweden

Organisation's contact details: Kim Bolton, Pro Vice-Chancellor (kim.bolton@hb.se)

SUBMISSION DATE: 15 DECEMBER 2020

DATE ENDORSEMENT CHARTER AND CODE: The process was initiated on 8 October 2018 by a decision taken by the former Vice-Chancellor Björn Brorström. The Endorsment letter was decided upon by Vice-Chancellor Mats Tinnsten on **16 December 2019** and the endorsement was approved by EURAXESS on 20 December 2019.

PROCESS

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

Name	Position	Management line/ Department
Mats Tinnsten	Vice-Chancellor	University Management
Anna Cregård	Head of Professional Services	Professional Services
Ragne Emardson	Dean of Faculty	Faculty of Textiles, Engineering and Business
Päivi Riestola	Dean of Faculty	Faculty of Caring Science, Work Life and Social Welfare
Martin G Erikson	Dean of Faculty	Faculty of Librarianship, Information, Education and IT
Lotta Dahlheim Englund	Head of Department	The Unit for Police Education
Katarina Ek	Director	Vice-Chancellor's Executive Office
Anders Stenström	Director	Research and Innovation
Annie Andreasson	Director	Communications Office
Eva Gustafsson	Chair of the Research and Education Board	Faculty of Textiles, Engineering and Business
Hanna Landin	Chair of the Artistic Research and Education Board	Faculty of Textiles, Engineering and Business
Amanda Johansson	Chair of the Student Union	Student Union

Kim Bolton	Pro Vice-Chancellor	University Management
Birgitta Alfraeus	Director of HR	Human Resources
Malin Eriksson	HR specialist	Human Resources
Sara Svensson	Assistant Director of HR	Human Resources
Helena Gjertz	International Coordinator	Faculty Support Office
Ellen Rydberg	Director of Grants and Innovation Office	Grants and Innovation Office
Mats Dolatkhah	Research Advisor	Grants and Innovation Office
Lina Färm	Communications Officer	Communications Office
Olof Harbecke	Research Coordinator	Academic Affairs Office
Rolf Hasslöw	Coordinator	Library
Hanna Kantola	Research Education Coordinator	Academic Affairs Office
Anders Nylund	Quality Coordinator	Academic Affairs Office
Anette Trennedal	Research Officer	Faculty Support Office
Zuleyma Montenegro de Rynge	Legal Counsel	Grants and Innovation Office
Linda Borglund	Lecturer	Department of Educational Research and Development
Stefan Dahlin	Innovation Advisor	Grants and Innovation Office
Anna-Karin Josefsson	Studentombudsman	Student Centre
Åsa Enmyren	Archivist	Finance Office
Ulf Andersson	Doctoral Student	Department of Caring Science
Helena Francke	Senior Lecturer, Docent	Swedish School of Library and Information Science
Lotta Saarnio Huttu	Senior Lecturer	Department of Caring Science
Sunil Kumar Lindström Ramamoorthy	Senior Lecturer	Department of Engineering
Mohammad Neaz Morshed	Doctoral Student	Department of Textile Technology
Vincent Nierstrasz	Professor	Department of Textile Technology
Anita Norlund	Professor	Department of Educational Research and Development
Agnes Olander	Doctoral Student	Department of Caring Science
Leif Sandsjö	Researcher, Docent	Department of Work Life and Social Welfare
Ilona Sárvári Horváth	Associate Professor	Department of Resource Recovery and Building Technology
Annelie Sundler	Professor	Department of Caring Science

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.

*The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ‚level', type of contract etc. etc. For a description of R1-R4, see*
https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors

Provide information on how the above groups were involved in the GAP-analysis:

*Stakeholder group	*Consultation format	Outcomes
The Vice-Chancellor's Advisory and Quality Council	Steering Group (Control Group) – information, consultation	Advice to the Vice-Chancellor before decisions are made
The Professional Services Advisory Council and The Dean of Faculty's Advisory Councils	Information, consultation	Members of Reference Groups
HRS4R Project Group	Project Group (Working Group) – regular meetings	The UB steering documents, regulations and practices described and evaluated. GAPs and actions identified.
Reference Groups, consisting of R1 to R4	Workshops on three occasions	GAPs and actions identified by R1 to R4

Please describe how the Committee overseeing the process was appointed and how it worked (meetings, decisions, etc.):

Free text 200 words maximum

The HRS4R process was initiated on October 8th 2018 by a decision taken by the former Vice-Chancellor Björn Brorström. The Vice-Chancellor's Advisory and Quality Council was appointed as the Steering Group and a Project Group was put together.

The Steering Group was informed by the Project Group on several occasions and the Pro Vice-Chancellor commissioned the Dean of Faculties and the Head of Professional Services to appoint representatives to the Reference Groups. All Faculties were to select one representative from each level, R1-R4. The Endorsement letter was decided upon by Vice-Chancellor Mats Tinnsten on December 16th 2019 and the endorsement was approved by EURAXESS on December 20th 2019.

Please describe how the Working Group doing the Gap Analysis was appointed:

Free text 200 words maximum

A Project Group was appointed by the Vice-Chancellor's Advisory Council to coordinate the HRS4R project. The Project Group was first lead by the Director of HR but since she finished her employment at the UB, the Pro Vice-Chancellor replaced her as the project leader. This enabled a close connection between the Project Group and the leadership of the UB. In addition, two representatives from the Human Resources department, one from the Grants and Innovation Office and one from the Faculty Support Office participated in the Project Group.

The work on the GAP analysis was conducted by the Project Group through a series of meetings. When a draft of the GAP analysis was compiled and a number of focus areas were identified, three workshops were held with researchers from R1 to R4 and administrative staff. In addition, a web form was produced, enabling all staff to give feedback on the project and the Gap analysis.

TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: **2019SE474125**

Name Organisation under review: University of Borås, Sweden

Organisation's contact details: Kim Bolton, Pro Vice-Chancellor (kim.bolton@hb.se)

SUBMISSION DATE: 15 DECEMBER 2020

DATE ENDORSEMENT CHARTER AND CODE: The process was initiated on 8 October 2018 by a decision taken by the former Vice-Chancellor Björn Brorström. The Endorsement letter was decided upon by Vice-Chancellor Mats Tinnsten on **16 December 2019** and the endorsement was approved by EURAXESS on 20 December 2019.

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.

PREAMBLE - CLARIFICATION REGARDING THE BASIC CONDITIONS FOR RESEARCHERS WORKING IN SWEDEN

Swedish labour law in general

The Swedish labour legislation generally applies to all sectors in the Swedish labour market. The legislation assures employees fundamental rights, such as employment security, vacation and regulated working hours. In addition, there are laws that apply only to the government sector. This could be, for example, regarding the appointments procedure and disciplinary sanctions. A majority of the Swedish universities and institutes of higher education is under governmental authority. Over 90% of the academic staff is employed within the state sector. Government employees are also insured special rights based on the Swedish Constitution, for example, a broad right to criticize their employer. In comparison with many other European countries, the Swedish labour legislation is not particularly extensive or detailed. It is mainly to be seen as protective legislation guaranteeing employees a basic protection. Instead, the employees' terms of employment are governed mainly by collective agreements. The Swedish labour market is characterized by a high degree of organisation and a low level of organisational fragmentation.

Collective agreements
Collective agreements complement the labour law. There are both central and local collective agreements. The central collective agreements apply either within the entire government sector or part of it, for instance the higher education sector. For the government sector, there are central collective agreements, which regulate pensions, holiday pay during leave and compensation for personal injury. There are also central collective agreements that allow specific grounds for temporary employment. At the universities/institutes of higher education, the parties may conclude local collective agreements. The space for what can be regulated by local collective agreements is determined by law and the central collective agreements. Among the issues more closely regulated by local collective agreements is the distribution of working hours. Sweden has chosen to regulate by law that the terms of collective agreements in the government sector also apply to workers not organised in trade unions. That means that an individual worker who is not unionised, is still embraced by the regulations of the collective agreement. In the personal employment contract, the parties may more closely regulate the conditions of employment, provided that it does not contradict law or collective agreement. It is common that the parties in the individual contract specify the conditions for the initial basic salary and where the work is to be performed.

Parental leave
Parental leave is governed in law through Parental Leave Act. The legislation applies to both the mother and father, as well as incoming researchers from other countries.

The recruitment procedure
The government employment process differs from other sectors. According to the Swedish Constitution, the decision for government contracts shall pay regard to objective factors only, such as merit and competence, of which competence should be of prime consideration.

Appeal
An applicant who has been rejected an appointment, has the right to appeal the decision of appointment. The appeal is heard by a special board. If the appeal is approved, the appellant should be offered the appointment, instead of the person that first received the appointment.

Transparency
Within the government sector, the employment procedure is specifically regulated, for instance how to inform about vacancies and how employment decisions should be notified. Application documents are public documents and therefore other candidates, as well as the public, have the right to access the documents.

The principle of public access to official documents
The principle of public access to official documents is a basic principle of the Swedish constitution. It means that the public and the media have the right to inspect state and municipal activities. The principle is expressed in various ways;
- everyone is entitled to read the documents of public authorities: access to official documents;

- officials and others who work for the state or municipalities are entitled to say what they know to outsiders: freedom of expression for officials and others

- officials and others in the service of the state or municipalities are normally entitled to disclose information to newspapers, radio and television for publication or to personally publish information: right to communicate and publish information;

The principle is regulated by fundamental laws;

Freedom of Press Act – **Tryckfrihetsförordningen TF 1949:105**

The fundamental Law on Freedom of Expression – **Yttrandefrihetsgrundlagen, YGL 1991:1469** However, there are provisions on confidentiality according to Swedish law, limiting the right to access official documents as well as in the public officials' right to freedom of expression. These provisions can be found in;

The Secrecy Act (Swedish Code of Statutes 2009: 400) - **Offentlighets- och sekretesslagen**

Data protection and processing of personal information

In addition to the EU General Data Protection Regulation (2016/679 GDPR), the Swedish legislation concerning data protection and privacy for all individual citizens, implement the data protection principles with following specific laws and regulations:

Data Protection Act - **Lag med kompletterande bestämmelser till EUs dataskyddsförordning 2018:218**

Data protection Ordinance - **Förordning med kompletterande bestämmelser till EUs dataskyddsförordning 2018:219**

Since GDPR is a regulation and therefore is directly binding and applicable, it also provides flexibility in some aspects of the regulation to be adjusted on a national level. In Sweden, it must comply with the fundamental laws. Public authorities, whose core activities consist of regular or systematic processing of personal data, are required to employ a Data Protection Officer (DPO) who is responsible for managing compliance with the GDPR. Appropriate technical and organizational measures are also required in order to implement the data protection principles.

Definitions researcher

The definition of researcher follows the definition adopted by the European commission, the Frascati definition, described in detail in the Frascati Manual[1].

Consequently, researchers are described as follows: *"Professionals engaged in the conception or creation of new knowledge, products, processes, methods and systems, and in the management of the projects concerned."*

More specifically, this Recommendation relates to all persons professionally engaged in R&D at any career stage[2] regardless of their classification. This includes any activities related to "basic research", "strategic research", "applied research", "experimental development" and "transfer of knowledge" including innovation and advisory, supervisory and teaching capacities, the management of knowledge and intellectual property rights, the exploitation of research results or scientific journalism. A distinction between Early-Stage Researcher and Experienced Researchers is stated:

The term Early-Stage Researcher[3] refers to researchers in the first four years (full-time equivalent) of their research activity, including the period of research training. Experienced Researchers[4] are defined as researchers having at least four years of research experience (full-time equivalent) since gaining a university diploma giving them access to doctoral studies, in the country in which the degree/diploma was obtained or researchers already in possession of a doctoral degree, regardless of the time taken to acquire it.

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[1] In: Proposed Standard Practise for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002
[2] COM (2003) 436 0f 18.7.2003: Researchers in the ERA: One profession, multiple careers
[3] See Work Program Structuring the European Research Area Human Resources and Mobility Marie Curie Actions, edition September 2004, page 41
[4] Idem, page 42

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?	Implementation: ++ = **fully implemented** +/- = **almost but not fully** implemented -/+ = **partially** implemented -- = **insufficiently** implemented	In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation (300 words per principle)	Initiatives undertaken and/or suggestions for improvement: (200 words per principle)
Ethical and Professional Aspects			
1. Research freedom	+/-	**Relevant national legislation and regulations:** **Swedish Higher Education Act (1992:1434) chapter 1 §6 - Högskolelagen** 'The following general principles shall apply to research: research issues may be freely selected, research methodologies may be freely developed, and research results may be freely published.' **Fundamental Law on Freedom of Expression (1991:1469) - Yttrandefrihetsgrundlagen** **Freedom of Press Act (1949:105) - Tryckfrihetsförordningen** **Relevant organisational regulations:** Research at the University of Borås (UB) is based on the principles in the Swedish Higher Education Act as well as the established principles of the research community. In the **Procedure for Suspected Research Misconduct** (Handläggningsordning för ärenden rörande misstänkt oredlighet i forskning samt annan allvarlig avvikelse från oredlighet (Swedish only), Reg. 669-19) it is stated that participants in research activities at UB are responsible for obtaining, compiling and reporting results in accordance with established principles in the research community. This means for example that supervisors and researchers are responsible for ensuring that results are correctly developed and described. Since the autumn of 2019 UB participate in a pilot, the **Swedish Higher Education Authority's review of the quality assurance work on research** (UKÄ:s granskning av lärosätenas kvalitetssäkringsarbete avseende forskning, Reg. 166-19). The purpose of the review is to	**Initiatives undertaken/suggestions for improvement:** - Development of education in the area of research freedom

		control that the quality assurance work ensures high quality in research and to contribute to the quality development of the university. In the review, steering documents for quality assurance and quality development of research is included. In this process, new and updated routines and steering documents have been developed at UB, for example: **Guidelines for Systematic Work Environment Quality Assurance for Research** (Riktlinjer för systematiskt kvalitetsarbete för forskning, (Swedish only) Reg. 530-19). See also **principle 11**. In the guidelines, the principle of research freedom has been included. *These guidelines need to be disseminated to develop knowledge and competence in freedom of research.* **Identified gap:** • Competence development in research freedom is needed	
2. Ethical principles	+/-	**Relevant national legislation and regulations:** **Act (2003:460) concerning the Ethics Review of Research Involving Humans -** Lag om etikprövning av forskning som avser människor **SFS (2019:1151) -** Förordning om ändring i högskoleförordningen **Data Protection Act (2018:218) -** Dataskyddslagen **Data Protection Ordinance, (2018:219) -** Dataskyddsförordningen **Archives Act (1990:782) -** Arkivlagen **Archives Ordinance (1991:446) -** Arkivförordningen **Animal Welfare Act (1988:534) -** Djurskyddslagen The **Swedish Ethical Review Authority** is an authority under the Ministry of Education. The authority started its operations on January 1, 2019 and replaced the regional ethics review boards. The authority is divided into six areas located in the following locations in Sweden: Gothenburg, Linköping, Lund, Umeå, Uppsala and Stockholm. At each region, there is at least one medical department as well as one department for other research. http://www.epn.se/en/start/ http://codex.vr.se/omcodex.shtml https://publikationer.vr.se/produkt/good-research-practice/ **Relevant organisational regulations:** As mentioned above, research at the University of Borås (UB) is based on the principles in the Swedish Higher Education Act as well as the established principles of the research community. In the **Procedure for Suspected Research Misconduct** (Handläggningsordning för ärenden rörande misstänkt oredlighet i forskning samt annan allvarlig avvikelse från oredlighet (Swedish only), Reg. 669-19) it is stated that participants in research activities at UB are responsible for obtaining, compiling and reporting results in accordance with established principles in the research community. The regulations furthermore describe the procedures for dealing with	**Initiatives undertaken/suggestions for improvement:** -Development of education for experienced researchers/supervisors, in the area of ethical principles -Development of web information regarding research ethics -Development of a function that advises researchers in applying for ethical reviews

research misconduct at UB and definitions stating that misconduct in research include activities that deliberately or negligently lead to false or distorted results in research, or misleading information about a researcher's contribution to research. Suspected misconduct in artistic research is handled in accordance with the regulations regarding other serious deviations.

At UB, a group has been created, the Data Access Unit (DAU), to support researchers with issues related to research data, accessibility and preservation of research data, e.g. ethics in research involving humans. The DAU works with service and support to ensure that the research data produced by the university's researchers is made findable, accessible and possible to reuse. The unit represents a number of different areas of expertise, not yet an expertise in ethics though, which can be important for researchers to consult.

In the General Study Plans for Doctoral Education, it is established that one of the goals of the doctoral degree is to show intellectual independence and scholarly honesty, as well as the ability to make ethical judgements relating to research. The syllabus furthermore includes a course in research ethics. All admitted doctoral students receive a copy of the Doctoral Student Handbook in which ethical issues, research misconduct and cheating are discussed. Once a year, UB organises an introduction day for all new doctoral students. General information about doctoral studies and information the university's organisation and structure are included. In addition, information about rights and obligations is provided. *However, UB also needs to develop the competence of all researchers in this area.*

Identified gap:
- Competence development in ethical issues is needed
- Lack of information about ethics on the university web
- Lack of support to researchers regarding ethical reviews

3.Professional responsibility	+/-	**Relevant national legislation and regulations:** **Swedish Higher Education Act (1992:1434) § 3a - Högskolelagen** 'In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. Ordinance (2000:1370).' **SFS (2019:1151) - Förordning om ändring i högskoleförordningen** **Administrative Procedure Act (2017:900) - Förvaltningslagen** This Act applies to the handling of matters by administrative authorities (e.g. universities). **Act on the responsibility for good research practice and the examination of misconduct in research (2019:504) - Lag om ansvar för god forskningssed och prövning av oredlighet i forskning**		**Initiatives undertaken/suggestions for improvement:** - Development of education for experienced researchers/supervisors, in the area of ethical principles

| | | **Relevant organisational regulations:**
Research at UB is carried out in close collaboration with wider society, which mutually enriches the academy and society. This is described in UB vision "Together, we take responsibility for the future. With our unique profiles within education and research, we make a difference."
This is further developed in the Policy for External Engagement (Policy för samverkan, Reg. 689-18) which has recently been established at UB. The policy also describes external engagement as a mean to strengthen and realise relevance in research and education.

UB also has a Policy for Sustainable Development (Policy för hållbar utveckling, Reg. 512-15) where it is stated that research about sustainable development is a priority. In this way research that is relevant to society is also in focus.

Data Management Plans are used to describe how research data is handled during the research process and after a research project is finished. Its purpose is to facilitate the preservation and accessibility of research data. The Swedish National Data Service (Svensk Nationell Datatjänst, SND) has created a checklist for Data Management Plans that researchers use and adjust according to their research project.

The Grants and Innovation Office (GIO) at UB offers research advising and support regarding external funding and strategic research planning. Furthermore, they offer advice and guidance to transform research results into innovation so that research can come to good use in society at large and in groups outside academia. GIO also provides legal and accounting expertise regarding budgets and contracts with collaborative partners and external funders.
As a part of the university's strategy to develop the competence of supervisors, the Department of Educational Research and Development offers a course for teachers who supervise doctoral students, Supervising doctoral students. The course includes central themes such as the objectives, content, and form of doctoral studies, as well as local, national, and international regulations. Study cultures and different dimensions of power relationships in connection to supervision are discussed. The course also includes supervision styles, situations, and the role of the supervisor as well as different phases of the research process such as planning, critical thinking, and evaluation and communication of research results.

See also **principle 2** regarding research ethics and **principle 31** regarding Intellectual Property Rights.

Identified gap:
• Competence development in ethical issues is needed | |
| **4. Professional attitude** | +/- | **Relevant national legislation and regulations:**
The professional attitude is unambiguously linked to the professional responsibility and the contractual and legal obligations to which each researcher must adhere. The Swedish legislation | **Initiatives undertaken/suggestions for improvement:** |

		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.	-Development of Research Plans for all research groups

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.

Act concerning the Ethics review of research involving humans (2003:460) - Lagen om etikprövning av forskning som avser människor
Data Protection Act (2018:218) - Dataskyddslagen
Data Protection Ordinance (2018:219) - Dataskyddsförordningen
Archives Act (1990:782) - Arkivlagen
Archives Ordinance (1991:446) - Arkivförordningen
Privacy Act (1998:204) - Personuppgiftslagen
Patient Data Act (2008:355) - Patientdatalagen
Medicines Act (2015:315) - Läkemedelslagen
Act (2002:297) on biobanks in the health service - Lagen om biobanker i hälso- och sjukvården

Relevant organisational regulations:
At UB, professional attitude is governed by the six research areas, as well as in the research centres and research groups at UB. The university of Borås is divided into three Faculties and each faculty has steering documents, such as operational plans and action plans, including objectives and strategies for education and research at the faculty. The faculties' plans are based on the overall objectives and strategies of the university. All faculties work with quality development and strategic objectives in their operational planning activities. In the quality assurance work on research it has been decided that all *research groups shall produce a research plan,* as established in the **Assignment for Research Group Leaders (**Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19) describing the strategies, projects and activities for the coming three year period. The alignment between the university's goals and the planned research will be described in these plans. These plans will form the basis for discussions between research group leaders and the leadership in *Research Advisory Councils, which are also under development.*

All applications for research funding that are for 5 million SEK or more, must be approved in writing by both the Dean of Faculty and the Vice-chancellor. Applications for less than 5 million SEK must be approved by the Dean of Faculty. This ensures that the necessary resources for each research project are available and that the research is aligned with the university's goals.

Identified gap:
- Research Plans to be developed for all research groups at UB
- Research Advisory Councils need to be developed and implemented

Right column:

-Development of Research Plans for all research groups

-Development and implementation of Research Advisory Councils

| 5. Contractual and legal obligations | ++ | **Relevant national legislation and regulations:**
Act (1969:729) on Copyright in Literary and Artistic Works - Lag om upphovsrätt till litterära och konstnärliga verk
Patent Act (1967:837) - Patentlag
Act (1949:345) on the Right to Employee Inventions - Lag om rätten till arbetstagares uppfinningar
Design protection Act (1970: 485) - Mönsterskyddslag
Trademark Act (2010:1877) - Varumärkeslag
Trade Names Act (1974:156) - Firmalag
Names Act (1982:670) - Namnlag
Swedish Higher Education Act (1992: 1434) Chapter 1 § 6 - Högskolelagen

Relevant organisational regulations:
The Grants and Innovation Office (GIO) at UB offers research advising and support regarding external funding and strategic research planning. Furthermore, they offer advice and guidance to transform research results into innovation so that research can come to good use in society at large and in groups outside academia. GIO also provides legal and accounting expertise regarding budgets and contracts with collaborative partners and external funders.
GIO provides an **Administrative Routine for Externally Funded Projects** (Administrativ rutin för externfinansierade project (Swedish only), Reg. 690-18). In addition to helping individual researchers when applying for funding, GIO arranges internal project meetings to inform involved researchers and supporting staff about the financial and legal aspects applicable for EU-projects, as well as UB's financial guidelines for project management. During these meetings, participating researchers are briefed about all contractual obligations contained in the Grant Agreement and Consortium Agreement in order to ensure quality and efficiency in the implementation of the projects. Other aspects covered in these meetings are the governance of the higher education institutions in Sweden, The Public Access to Information and Secrecy Act, and the university's responsibility for external engagement and utilization of research results.

In order to fulfill UB's contractual obligations as a beneficiary towards both the EU commission and certain national research financiers (KK-stiftelsen, FORMAS, FORTE, Vetenskaprådet), two internal documents are used – Project certificate and Research certificate (Projektintyg och Forskarintyg, Reg. 442-20 and 443-20). The project certificate is signed by the Dean of Faculty and the Project Manager to ensure that the project will be carried out in accordance with the grant agreement, including its terms, the project description and UB's financial guidelines for projects. The research certificate is signed by the participating researchers who approve and certify that they have agreed with the regulations that govern the project in terms of confidentiality, publication, project administration and intellectual property rights. | |

		Identified gap: • None
6. Accountability	++	**Relevant national legislation and regulations:** **Swedish Higher Education Act (1992:1434) § 4 - Högskolelagen** 'The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programmes and in research. The resources available shall be used effectively to sustain a high standard of operation. Quality assurance procedures are the shared concern of staff and students at higher education institutions. Ordinance (2013:119).' **Relevant organisational regulations:** UB provides higher education and research in collaboration with industry, the public sector and cultural life. Together with collaborating partners, UB achieve a reciprocal approach based on transparency and accountability. The university is responsible for contributing to and critically reviewing social progress. It is the responsibility of the university to guarantee the scientific level of the partnerships with the professions so that it corresponds to the high-quality requirements set for higher education and research. UB emphasizes the importance of internationalisation and sustainable development. These aspects represent natural factors for all future-oriented professions and are necessary for creating good living conditions, both now and in the future. The university's operations are governed by the university board. The governing board is to supervise all matters concerning the university and is responsible for the performance of its duties. **The Governing Board's Organisational and Decision-making Ordinance** (Styrelsens organisations- och beslutsordning, SOB (Swedish only), Reg. 575-16) governs overall organisational structure and decision-making structure as well as forms of decision-making**. The Vice-Chancellor's Organisational and Decision-making Ordinance** (Rektors organisations- och beslutsordning, ROB (Swedish only) Reg. 698-18) governs the organisation in more detail, the boards and councils and the positions with rights to make decisions. These documents describe which levels in the university's organisation are responsible for various activities. The University Library offers information and support regarding publication of research. The Vice- Chancellor's Resolution on Publishing (Rektorsbeslut avseende publicering, Reg. 117-15) states that since publishing articles, books, conference papers and even artistic research is the basis for allocation of a part of UB's research funds, the quality of research publications from the University of Borås should be as high qualitative as possible and get the widest dissemination as possible. Through Open Access, research results are disseminated to both the research community and to society.	

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<td>UB researchers participating in projects are aware of their responsibilities towards the university, the funder, and other participating organisations (beneficiaries) through information at project meetings and research certificates. This is described in the Administrative Routine for Externally Funded Projects (Administrativ rutin för externfinansierade projekt (Swedish only), Reg. 690-18). Regarding methods for collection, analysis and results, the researchers can turn to the Data Access Unit (DAU) for advice, see also principle 2.

As mentioned above, see principle 6, both a Project Certificate and a Research Certificate is signed in order to ensure that the project is carried out in accordance with the financier's terms, and the documents usually include a list of responsibilities and activities to be carried out in the project.

Identified gap:
• None</td>
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<td>7. Good practice in research</td>
<td>+/-</td>
<td>Relevant national legislation and regulations:
Work Environment Act (1977:1160) - Arbetsmiljölagen
Personal Data Act (1998:204) - Personuppgiftslagen
Archives Act (1990:782) - Arkivlagen
Public Access to Information and Secrecy Act (2009:400) - Offentlighets- och sekretesslagen
Act on the responsibility for good research practice and the examination of misconduct in research (2019:504) - Lag om ansvar för god forskningssed och prövning av oredlighet i forskning

Relevant organisational regulations:
The Work Environment Policy (Arbetsmiljöpolicy, Reg. 734-17) of UB describes how the working conditions in the organisation shall prevent illness and accidents at work and how a satisfying working environment shall be achieved. UB's Safety Delegate (Skyddsombud) ensure that these regulations are followed.

As mentioned at principle 1 and 2, the Procedure for Suspected Research Misconduct (Handläggningsordning för ärenden rörande misstänkt oredlighet i forskning samt annan allvarlig avvikelse från oredlighet (Swedish only), Reg. 669-19) states that participants in research activities at UB are responsible for obtaining, compiling and reporting results in accordance with established principles in the research community.

UB Security Policy (Säkerhetspolicy, Reg. 450-18) describes the university's intensions and goals for the overall safety work, in which information security is one part. The Information Security Rules (Regler för informationssäkerhet, Reg. 074-11) describes the roles and overall structure for information security. These rules are supplemented with three instructions - for users, for</td>
<td>Initiatives undertaken/suggestions for improvement:

- Update of the Security Policy with supplementary rules</td>
</tr>
</table>

administration and for continuity and operations. *The rules and instructions will be revised in the near future and updated according to updated regulations, current data protection requirements and ISO27001.*

In addition, UB has Guidelines and Document Management Plan for Research Documents (Riktlinjer och dokumenthanteringsplan för bevarande och gallring av forskningshandlingar, Reg. 379-10). These describe how the university's information should be handled regarding archiving and destruction of records.

Furthermore, there are **Rules for the Processing of Personal Data**, (Regler för anställdas behandling av personuppgifter och Regler för studenters behandling av personuppgifter (Swedish only), Reg. 361-18) as well as additional guidelines for staff, teachers and researchers.

Regarding methods for collection, analysis and results of research, researchers can turn to the Data Access Unit (DAU) for advice, see also **principle 2.**

Identified gap:
- Information Security Rules and Instructions for users need to be updated

8. Dissemination, exploitation of results	+/-	**Relevant national legislation and regulations:** **Swedish Higher Education Act (1992:1434) 1, 2 and 3§§** - **Högskolelagen** '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.' **National Library of Sweden** - **Open Access Coordination Assignment** **Data Protection Act (2018:218)** - **Dataskyddslagen** **Data Protection Ordinance (2018:219)** - **Dataskyddsförordningen** **Archives Act (1990:782)** - **Arkivlagen** **Archives Ordinance (1991:446)** - **Arkivförordningen** **Public Access to Information and Secrecy Act (2009:400)** - **Offentlighets- och sekretesslagen** **Relevant organisational regulations:** The Communication Department offer support in the areas of communication planning, media training, event planning etc. A new Communications Policy (Kommunikationspolicy, Reg. 368-20) has recently been established, *which needs to be implemented in the organisation*. In addition, a Plan for Research Communication has been developed. The plan is updated yearly and include strategies for communication of research to the wider society. The Communication Department has also developed **Guidelines for translation to English** (Riktlinjer för engelska översättningar, Reg. 757-16) where it is clearly stated that the unit that	**Initiatives undertaken/suggestions for improvement:** -Implementation of the new Communications Policy - Development and implementation of an action plan for systematic translation of relevant documents to English -Development and implementation of goals for external engagement and collaboration with society

develops or revises a document is responsible for deciding whether the document should be translated to English. This is done based on the criteria that are given in the guidelines and the Communications Department is responsible for the translation. However, *it is not sure that all units follow the guidelines.*

The Policy for External Engagement (Policy för samverkan, Reg. 689-18) has recently been established at UB. The policy describes that UB supports activities contributing to the utilization and spread of knowledge and research thereby contributing to innovation and transformation of society. *This policy needs to be implemented by developing goals for external engagement and methods to follow up these goals.*

The Grants and Innovation Office (GIO) at UB offers research advising and support regarding external funding and strategic research planning. Furthermore, they offer innovation advising and guidance so that research can come to good use in society at large and in groups outside academia. The support offered involve for example Intellectual asset inventory, principles for making results accessible to the public, searches in databases of patents and design and securing that publications does not reveal results intended to be protected at a later stage. The advisors at the GIO guide each researcher in research utilization, impact and how to disseminate the results.

The University Library offers information and support regarding publication of research. The Vice- Chancellor's resolution on publishing (Rektorsbeslut avseende publicering, Reg. 117-15) states that since publishing articles, books, conference papers and even artistic research is the basis for allocation of research funds, the quality of research publications from University of Borås should be as high qualitative as possible and get the widest dissemination as possible. Through Open Access, research results are disseminated to both the research community and to society at large. UB recommends, with regards to the Berlin declaration, SUHF's recommendations and guidelines from the Swedish Research Council that researchers should choose channels that are Open Access or at least allow self-archiving. All research conducted at UB is to be registered in the Digital Scientific Archive, DiVA (Digitala Vetenskapliga Arkivet). DiVA is used for registering, and to some degree, depositing and disseminating open access research publications, artistic work, student thesis, digital collections and other material produced by UB staff and students.

The Research Group Leaders have a mission to promote cooperation within and outside the university, and in particular promote network building with strong environments, nationally and internationally. They also have a mission to promote collaboration with society. This is established in the **Assignment for Research Group Leaders** (Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19). The assignment furthermore stipulates *that all research groups at UB must have a research plan,* where they describe their plans for

-Development of Research Plans for all research groups

-Development and implementation of Research Advisory Councils

dissemination and external engagement. The plans, together with bibliometric data, will be followed up annually in *Research Advisory Councils that are under development.*

At UB there are also Centres for external engagement and one Science Park which function as the interface between the university and the outside world. UB further more collaborate with partners such as Drivhuset and Inkubatorn for matters regarding entrepreneurship and commercialisation.

Identified gap:
- Communications Policy needs to be implemented
- The Guidelines for translation to English may not be followed by all units at the university
- Goals for external engagement and collaboration with society must be developed and implemented
- Research Plans to be developed for all research groups at UB
- Research Advisory Councils need to be developed and implemented

9. Public engagement	+/-	**Relevant national legislation and regulations:** **Swedish Higher Education Act (1992:1434) 1, 2 and 3 §§ - Högskolelagen** '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.' **Relevant organisational regulations:** The University's education and research are carried out in close collaboration with the outside world, which mutually enriches the academy and society. Together with the professions, UB identify and formulate issues that are translated into challenges for education and research. It is the responsibility of the university to guarantee the scientific level of the partnerships with the professions so that it corresponds to the high-quality requirements set for higher education and research. Research at UB is characterized by a large share of external financing and by the fact that the researchers in all fields are part of strong national and international networks. The university views partnership and societal relevance in research as key terms in the continuing process of developing competitive and relevant research. A Policy for External Engagement has recently been established at UB (Policy för samverkan, Reg. 689-18). The policy describes that UB supports activities carried out together with actors in the surrounding society and how external engagement contribute to creating and utilizing knowledge and contribute to the development of society as well as increased quality in education and research. *This policy needs to be implemented by developing goals for external engagement and methods to follow up these goals.*	**Initiatives undertaken/suggestions for improvement:** - Development and implementation of goals for external engagement and collaboration with society -Development of Research Plans for all research groups -Development and implementation of Research Advisory Councils

According to UB [Policy for Sustainable Development](#) (Policy för hållbar utveckling, Reg. 512-15) research within sustainable development is prioritised at UB. Research on sustainable development is characterised by issues that require a multidisciplinary and often intersectional approach, innovative thinking, and collaboration with the community. By supporting transboundary collaboration, diversity of ideas and differing perspectives are promoted. This contributes to increased quality in education as well as in research.

Since 2014 UB has been arranging "Researchers' Friday", which is part of the European Researchers' Night, an initiative by the European Commission. The event is considered the most widely spread science festival in the country. The program for Researchers' Friday includes activities such as "Borrow a researcher", "Researcher Grand Prix" and study visits at the university. Other activities that UB organises or participates in include Almedalen week and events at the Nobel day.

As mentioned above, *It has recently been decided that all research groups at UB must have a research plan,* established in the **Assignment for Research Group Leaders** (Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19) where they describe their plans for dissemination. The plans, together with bibliometric data, will be followed up annually in *Research Advisory Councils that are under development.*

See also **principle 8** regarding support from the Communications department, GIO and the Library.

Identified gap:
- Goals for external engagement and collaboration with society must be developed and implemented
- Research Plans to be developed for all research groups at UB
- Research Advisory Councils need to be developed and implemented

10. Non discrimination	++	**Relevant national legislation and regulations:** **Discrimination Act (2008:567) -** **Diskrimineringslagen**	
		The Swedish Gender Equality Agency (Jämställdhetsmyndigheten) is a national authority working within the field of gender mainstreaming and is also in charge of development programs that is supporting Swedish higher education institutions and a large number of government agencies in their gender mainstreaming work.	
		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 14 institutions in their gender mainstreaming efforts 2016-2019. This assignment has now been prolonged.

The Equality Ombudsman (Diskrimineringsombudsmannen) is a government agency that promote equal rights and opportunities and combat discrimination

Relevant organisational regulations:
UB has a number of steering documents and regulations which include different aspects of non-discrimination:
Policy for sustainable development (Policy för hållbar utveckling, Reg. 512-15) - Research within sustainable development is prioritised at UB. Research on sustainable development is characterised by issues that require a multidisciplinary approach, innovative thinking, and collaboration with the community. By supporting transboundary collaboration, diversity of ideas and differing perspectives are promoted. This contributes to increased quality in education as well as research.
Policy for equal opportunities (Policy för lika villkor, 479-19) - UB is undertaking a strategic work in the areas of increased diversity, gender equality and accessibility and has as an overarching goal that all individuals; applicants, students and employees shall have equal opportunities regardless of gender, gender identity, age, sexual orientation, ethnic origin, religion or other beliefs or disabilities.
Action Plan for Gender Mainstreaming (Handlingsplan för jämställdhetsintegrering, (Swedish Only), Reg. 253-17) - A gender equality perspective must be considered in all decisions and at all levels and processes at the university. UB has chosen to focus on two areas in the action plan for integration of equality. One is gender-based study choices and the other is career paths.
Appointments Procedure (Anställningsordning, Reg. 761-18) - UB shall work to create opportunities for people of different sex, transgender identity or expression, age, ethnicity, religion or other belief, disability, or sexual orientation to apply to vacant posts at the University.
Guidelines and Measures Regarding Victimization and Harassments (Riktlinjer och åtgärder vid kränkande särbehandling, (Swedish only), Reg 515-16) - UB wants to be a generous and compassionate workplace with open and permissive climate. Victimization and harassments are not accepted! If an employee has been subjected to offensive treatment, there are guidelines and procedures for how it should be handled.

Every second year the UB performs an employee survey where questions regarding work environment and discrimination are asked. Any anomalies can in this way be detected and taken care of. The Head of Department is responsible to develop an action plan on the deficiencies in. The action plan contains the responsibilities, time aspects and follow-up of the activities. The survey is handled in a systematic process that is coordinated by HR and involves all levels of the

		university leadership. UB furthermore distribute a student survey as well as a survey for doctoral students and questions about equal opportunities are included in both these surveys as well. **Identified gap:** • None	
11. Evaluation/ appraisal systems	+/-	**Relevant national legislation and regulations:** **The Swedish Research Council** (Vetenskapsrådet, VR) VR conducts various types of evaluations of research, both evaluations of research topics (such as mechanics or literature) and evaluations of government -initiated research efforts, the latter more frequent. 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. **The Swedish Higher Education Authority** (UKÄ, Universitetskanslerämbetet) and Higher Education Institutions (HEI) in Sweden have shared responsibility for quality assurance of research. UKÄ performs reviews of the HEIs quality assurance processes. **Ordinance (2007:603) on Internal Control - Förordning om intern styrning och kontroll** **Internal Audit Ordinance (2006:1228) 1 and 2 §§ - Internrevisionsförordning** **Relevant organisational regulations:** Evaluation is carried out through staff appraisals such as performance reviews and salary-setting dialogues, described in the **Salary Policy** (Lönepolitik, (Swedish only), Reg. 616-14). In the performance review the past performance and the future development is discussed and individual goals for the employee are agreed on. The individual goals are evaluated in the salary dialogue. The criteria for evaluation include: • Goal-fulfilment and achievement • Employeeship • Contribution to development • Innovation, utilisation and collaboration • Teaching • Research/artistic development work Continuous feedback on research, which leads to renewal, is obtained through reviews when publishing research results, external reviewers and examining committees on defence of doctoral thesis etc.	**Initiatives undertaken/suggestions for improvement:** -Development of Research Plans for all research groups -Development and implementation of Research Advisory Councils -Implementation of external evaluation of research environments in a six-year cycle

In order to stimulate an increased proportion of external funding a certain part of the university's research funding is distributed based on the criteria external funding and peer reviewed articles. This is stipulated in the **Governance System** at the UB (Styrmodell, (Swedish only), Reg. 755-14)

Since the autumn of 2019 UB participates in a pilot, the Swedish Higher Education Authority's Review of the Quality Assurance Work on Research (UKÄ:s granskning av lärosätenas kvalitetssäkringsarbete avseende forskning). The purpose of the review is to control that the quality assurance work ensures high quality in research and to contribute to the quality development of the university. In the review, steering document for quality assurance and quality development of research are included. In this process, new and updated steering documents are developed at UB (Swedish only):

- **Guidelines for Systematic Work Environment Quality Assurance for Research**, (Riktlinjer för systematiskt kvalitetsarbete för forskning, Reg. 530-19)
- **Development of a Systematic Method for Research Follow-up**, (Utveckling av en systematisk arbetsmetod för uppfölning av forskning, Reg. 531-19)
- **Continuous Quality Assurance Follow-up and Quality Development of Research**, (Kontinuerlig kvalitetsuppföljning och kvalitetsutveckling av forskning, Reg. 532-19)
- **Six-Year Cycle for the Quality Assurance and Development of Research**, (Sexårig cykel gällande kvalitetssäkring och kvalitetsutveckling av forskning, 533-19)
- **Evaluation Cycle and Rules for the Local Evaluation of Research**, (Utvärderingscykel och regler gällande lokal utvärdering av forskning, Reg. 890-19)
- **Procedure for the Evaluation and Development of Research**, (Handläggningsordning för utvärdering och utveckling av forskning, Reg. 900-19)

Part of this extended quality assurance system requires that *Research Plans* and bibliometric and funding statistics are followed up in *Research Advisory Councils that are to be established*. In addition, all research environments will be *evaluated by external advisory groups in six-year cycles* in order to ensure and improve the quality of research at the university. This is established in the **Assignment for Research Group Leaders** (Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19).

Identified gap:
- Research Plans to be developed for all research groups at UB
- Research Advisory Councils need to be developed and implemented
- External evaluation of research to be developed

Recruitment and Selection		
12. Recruitment	++	**Relevant national legislation and regulations:** **Instrument of Government** – Regeringsformen The Instrument of Government Chapter 11, Section 9: When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account. **Public Employment Act (1994:260) - Lagen om offentlig anställning** 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. **Swedish Higher Education Act (1992:1434) - Högskolelagen** **Higher Education Ordinance (1993:100) - Högskoleförordningen** **Discrimination Act (2008:567) - Diskrimineringslagen** **Relevant organisational regulations:** Regulations regarding employment at the University of Borås can be found in the **Local Collective Agreement** (Lokalt villkorsavtal, (Swedish only), Reg. 889-18). Routines for employment and promotion of researchers and teaching staff can be found in the university's Appointments Procedure (Anställningsordning, Reg. 761-18) and in the Rules for Recruitment and Promotion of Teaching Staff (Regler vid rekrytering och befordran av lärare, Reg. 760-18). The purpose of the Appointments Procedure is to create and maintain a common approach regarding forms of employment and work procedures in the recruitment of academic staff. The Rules for Recruitment and Promotion of Teaching Staff describe the preparations, procedures and practical applications of the Appointments Procedure. Qualification requirements and basis of assessment for the following positions are listed in the Appointments Procedure: - Professor - Visiting professor - Adjunct professor - Associate professor - Senior Lecturer - Associate Senior Lecturer - Postdoctor - Lecturer - Adjunct lecturer (adjunct associate professor, senior lecturer and lecturer) - Lecturer in Artistic Education - Post Retirement Lecturer	

The recruitment process is characterised by objectivity, legal security and transparency. The eligibility requirements that apply to the specific employment is clearly defined. The university has established the **Research and Education Board** (FoU-nämnden) and the **Artistic Research and Education Board** (KFU) who have a specific responsibility to prepare employment and promotion of researchers (R1 to R4) in an objective manner. As part of this procedure, two external experts assess the applicants' skills when recruiting a professor, associate professor, senior lecturer or associate senior lecturer. In the recruitment of a postdoctor, assessment is normally done by an internal expert.

Employees who have had a leading position, for at least three years, is given time for adaptation to the ordinary duties provided that the employee continues to work at the university. This means that for a limited period, the employee is given designated time to get back to the ordinary work, based on the needs of the faculty and the individual.

UB works actively to include gender equality and diversity in the recruitment process. This includes ensuring that people irrespective of gender, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age are given the opportunity to apply for vacant positions.
An employment decision can be appealed within three weeks of it being posted, i.e. before it has gained legal force. The appellant must have applied for the job within the right time and not been offered employment. Upon appeal, the case is forwarded from UB to the State Appeals Board, which decides in the case. The Board take part of application documents, documentation from the interview and from the reference taking and any other notes made by the university. Overall assessment is based on merits and skills so that the person with the best merits is employed.

Regulation regarding admission and employment of doctoral students can be found in UB's Admission Regulations and Appointments Procedure (Antagningsordning för utbildning på forskarnivå, Reg. 633-18), the Rules for Doctoral Studentships (Regler vid doktorandanställning, Reg. 005-16) and in the Rules for Student Funding for Doctoral Studies (Regler om studiefinansiering av forskarutbildning till doktorander, Reg. 462-18). The principal rule is that doctoral students are employed by UB, for education at doctoral level. Internal scholarships or doctoral grants are not allowed, but internally financed doctoral students are employed by UB. Other forms of external scholarships can be allowed if the doctoral student's insurance and financial conditions can be ensured at the time of admission. FoU-nämnden and KFU, mentioned above, make decisions on admission to doctoral studies and is responsible for the process and the decisions.

			Identified gap: • None	
13. Recruitment (Code)	**+/-**		**Relevant national legislation and regulations:** **Higher Education Ordinance (1993:100) -** **Högskoleförordningen** According to the Higher Education Ordinance (2010:1064) Chapter 2 , § 2 , the University Board shall set employment regulations (anställningsordning) that the university applies together with the rules of appointment and promotion of teachers. **Employment Ordinance (1994:373) -** **Anställningsförordningen** **Freedom of the Press Act, Chapter 2. On the public nature of official documents -** **Tryckfrihetsförordningen** **Public Employment Act (1994:260) Section 4 Merits and competence -** **Lagen om offentlig anställning** **Discrimination Act (2008:567) -** **Diskrimineringslagen** **Relevant organisational regulations:** As established in UB's Appointments Procedure (Anställningsordning, Reg. 761-18) the recruitment process is characterized by objectivity, legal security and transparency. The eligibility requirements that apply to the specific employment is clearly defined. The employment profile includes information about the subject, content description and qualification requirements. According to the Rules for Recruitment and Promotion of Teaching Staff, (Regler vid rekrytering och befordran av lärare, Reg. 760-18), all lecture posts must be announced by advertisement or by an equivalent procedure. Vacant positions are normally announced on the university website, official notice board and on the Employment Service's website. Doctoral and Postdoctoral positions without requirements for Swedish knowledge are also advertised at The Researchers's Mobility Portal at EURAXESS. The application deadline is normally at least three weeks. The Admission Regulations and the Appointments Procedure for doctoral students (Antagningsordning för utbildning på forskarnivå, Reg. 633-18), mentioned above, states that a vacant doctoral position shall be advertised so that the advertisement gets appropriate national and international dissemination. At UB all types of positions are handled through the web-based recruitment system **ReachMee**. In the recruitment system, templates are used for the advertisements to ensure a uniform appearance. The system makes the recruitment procedures open and efficient. However, *information regarding working conditions and rights and obligations needs to be developed*. The HR specialists review and verify the requirement profile/job description and advertisement before publication.	**Initiatives undertaken/suggestions for improvement:** -Develop information regarding working conditions for applicants -Develop information regarding career development prospects for applicants -Develop information regarding rights and obligations for applicants -Evaluate the length of recruitment processes for researchers

			Identified gap: • Lack of information about working conditions for applicants • Lack of information about career development prospects for applicants • Lack of information regarding rights and obligations for applicants • The time required for recruitment of researchers is long	
14. Selection (Code)	+/-		**Relevant national legislation and regulations:** **Swedish Higher Education Act (1992:1434) - Högskolelagen** **Higher Education Ordinance (1993:100) - Högskoleförordningen** **Relevant organisational regulations:** As established in the Rules for Recruitment and Promotion of Teaching Staff (Regler vid rekrytering och befordran av lärare, Reg. 760-18), employment and promotion activities that require scientific, artistic or professional competence are prepared by the boards (FoU-nämnden and KFU), or the employment committees of the boards. Two external experts are appointed to assess the applicants' skills when recruiting a professor, associate professor, senior lecturer or associate senior lecturer. The external experts shall, individually or collectively, submit a written report of their assessment of the applicants' scientific/artistic, and pedagogical qualifications that is relevant for the position. The experts shall individually specify the skills for the most qualified applicants. The most important requirements shall be reported separately and a weighting of the applicant's all merits shall be made. Furthermore, the external experts shall rank three to five applicants that should primarily be considered for employment. The assessment shall be made with respect to each of the most important eligibility requirements and as an overall assessment. Based on the application, the experts report, interviews and/or test lectures and references, the board or the committee makes a recommendation for a decision on employment. When the board/committee has ranked the applicants, the HR specialist submits proposals of employment to the Dean of Faculty or the Vice-Chancellor (for the position of professor). If considered necessary, further experts (from the public or private) can be appointed to the employment committee and be co-opted to the committee meeting. This is done mostly regarding on the subject area to which the recruitment relates and whether the need for this has been identified. In the document for external experts Guidelines for reviewers (Instruktioner för sakkunniga), the process and the guidelines for assessment are described. However, there are discrepancies between these guidelines and other documents that govern the employment process, such as the rules and regulations for employment. *These documents need to be aligned with each other.*	**Initiatives undertaken/suggestions for improvement:** -Evaluate the consistency between the various documents used in the recruitment process

		The selection process for doctoral students is described in the <u>Admission Regulations and the Appointments Procedure</u> (Antagningsordning för utbildning på forskarnivå, Reg. 633-18). If the number of qualified applicants exceeds the number of vacant positions, a selection shall be made based on an assessment of the applicants' ability to benefit from the doctoral education. A selection group is appointed by the **Research Education Committee** or **Artistic Research and Education Board**. The employment conditions and selection criteria for doctoral students can be found in the <u>Rules for Doctoral Studentship</u> (Regler vid doktorandanställning, Reg. 005-16). **Identified gap:** • The various documents used in the recruitment process may not be consistent with each other	
15. Transparency (Code)	+/-	**Relevant national legislation and regulations:** **Swedish Higher Education Act (1992:1434) - Högskolelagen** **Higher Education Ordinance (1993:100) - Högskoleförordningen** According to the Higher Education Ordinance (SFS 2010 : 1064) Chapter 2 , § 2 , the University Board shall set employment regulations (anställningsordning) that the university applies together with the rules of appointment and promotion of teachers. **Employment Ordinance (1994:373) - Anställningsförordningen** **Public Access to Information and Secrecy Act (2009:400) - Offentlighets- och sekretesslagen** **Relevant organisational regulations:** As described above, the recruitment process shall be characterized by objectivity, legal security and transparency. UB's <u>Appointments Procedure</u> (Anställningsordning, Reg. 761-18) states that employment profiles shall include subject name, subject content/description, responsibilities, eligibility and other qualification requirements. The design of the employment profile is of great importance for legal security and efficiency in the process. The eligibility requirements that apply to the specific employment based on defined tasks is described. Vacant positions are normally announced through advertising on the university website, official notice board and on the Employment Service's website. Doctoral and Postdoctoral positions without requirements for Swedish knowledge, are also advertised at The Researchers's Mobility Portal at EURAXESS. The recruitment system ReachMee supports a transparent process. Everyone involved can easily access all applications and the system facilitates communication with all applicants. All applicants receive information during the recruitment process. The applicants who meet the requirements and whose documents are sent to the external experts are informed of the names of the appointed experts and the timeline ahead. The applicants who do not meet the basic requirements for the position are informed that their documents will not be sent for review. The applicants who proceed to an interview with the board/committee are informed of the structure of the meeting. In the meeting, the applicant first gets half an hour to introduce him/her to the committee. The presentation should include completed educational activities	**Initiatives undertaken/suggestions for improvement:** -Develop information regarding career development prospects for applicants

		and thoughts about continuing educational development and scientific plans for the next three years. After the presentation, there is another half an hour of interview questions by the board/committee. **Identified gap:** · Lack of information about career development prospects for applicants		
16. Judging merit (Code)	+/-	**Relevant national legislation and regulations:** **Public Employment Act (1994:260) §4 Merits and competence -** Lagen om offentlig anställning **Higher Education Ordinance (SFS 1993:100) chapter 4 -** Högskoleförordningen **Relevant organisational regulations:** UB Appointments Procedure (Anställningsordning, Reg. 761-18) describes the recruitment process, the qualification requirements and basis of assessment for the different employment types. A general requirement for employment as a senior researcher (R3 or R4) is completed education of teaching in higher education of at least 10 weeks full-time studies or equivalent. An employee who lacks this education or equivalent knowledge should undergo such education during the first two years of employment. The Appointments Procedure describe the basis of assessment for each employment type. For example, for a professor the basis of assessment includes: · Width and depth of research · Originality in research / artistic work · Contribution to the international development of the subject · Contribution to the international science community · Experience of leading and developing research activities such as research projects and research groups · Obtained research funding · Obtained awards, scholarships or similar · Scientific / artistic subject knowledge and didactic knowledge · Experience of collaboration with the society in education, research and artistic activities · Administrative and leadership skills Candidates from an industrial background can be employed as adjunct professors or adjunct lecturers. The purpose of adjunct employment is to provide competence that is not normally found in the regular operations and to strengthen the university's competence within a specific subject area. Employment of adjunct teachers can in many cases lead to increased collaboration between the university and other external actors. Qualified experience from industry or other activities outside the university is of great importance in the recruitment of adjunct positions.		**Initiatives undertaken/suggestions for improvement:** -Evaluate the consistency between the various documents used in the recruitment process

In the document for external experts Guidelines for reviewers (Instruktioner för sakkunniga), the process and the guidelines for assessment are described. If the experts' reviews are not complete, they will be returned to be clarified based on the guidelines. As mentioned above, there are discrepancies between these guidelines and other documents that govern the employment process, such as the rules and regulations for employment. These documents need to be aligned with each other.

Regulation regarding admission and employment of doctoral students can be found in UB's Admission Regulations and Appointments Procedure (Antagningsordning för utbildning på forskarnivå, Reg. 633-18), the Rules for Doctoral Studentship (Regler vid doktorandanställning, Reg. 005-16) and in UB's Rules for Student Funding for Doctoral Studies (Regler om studiefinansiering av forskarutbildning till doktorander, Reg. 462-18). See also **principle 12.**

Identified gap:
- The various documents used in the recruitment process may not be consistent with each other

17. Variations in the chronological order of CVs (Code)	++	**Relevant national legislation and regulations:** **Employment Ordinance (1994:373) -** **Anställningsförordningen** **Relevant organisational regulations:** As mentioned above, UB Appointments Procedure (Anställningsordning, Reg. 761-18) describes the recruitment process, the qualification requirements and basis of assessment for the different types of employment. For the employment type's lecturer and senior lecturer, the basis of assessment can be "professional skills". This applies to applicants who will teach in an education were proven experience is of importance. At UB this includes qualified experience outside of the education- and research sector and with the emphasis on development and innovation. The assessment shall be qualitative, and the experiences validated. **Identified gap:** - None	
18. Recognition of mobility experience (Code)	+/-	**Relevant organisational regulations:** According to UB Appointments Procedure (Anställningsordning, Reg. 761-18) the basis of assessment include, for some types of employment, the contribution to the international development of the subject and to the international science community as well as experience of collaboration with the society. The Guidelines for Reviewers, external experts, contain instructions to evaluate the applicant's record concerning course development, international teaching exchange and pedagogical research. The Appointments Procedure describes the purpose of recruiting adjunct lecturers and visiting professors, and that is to add such	**Initiatives undertaken/suggestions for improvement:** -Strategic goals for internationalisation to be developed

		competences and expertise that cannot be found in the university and to strengthen the competence in prioritized areas. The employment of adjunct lecturers can in many cases lead to increased collaboration between UB and the national and international society. The Policy for Internationalisation (Internationaliseringspolicy, Reg. 738-18) states that employees' international experiences are seen as a merit by UB. By having the proper competence for their work, employees contribute to the university's international environment. In addition, *Strategic goals for internationalisation are in the process of being developed.* In UB's **Salary Policy** (Lönepolitik, (Swedish only), Reg. 616-14) it is stated that the employee/researcher should be actively involved in research and doctoral education and integrate current research/artistic development in educational programmes. This can for example be made through establishing, maintaining and developing national and international partnerships and external engagement. Furthermore, the researcher should contribute to the dissemination of results so that they can be recognized both nationally and internationally. See also **principle 29.** **Identified gap:** • Lack of UB goals for internationalisation • Incentives for and recognition of mobility in employment and promotion needs to be analysed	-Investigation of the need to develop incentives for and recognition of mobility in employment and promotion
19. Recognition of qualifications (Code)	++	**Relevant national legislation and regulations:** **Higher Education Ordinance (1993:100) - Högskoleförordningen** According to the Higher Education Ordinance (SFS 2010: 1064) Chapter 2, § 2, the University Board shall set employment regulations (anställningsordning) that the university applies together with the rules of appointment and promotion of teachers. **Relevant organisational regulations:** UB Appointments Procedure (Anställningsordning, Reg. 761-18) describe the recruitment process, the qualification requirements and basis of assessment for the different employment types. As mentioned at **principle 17**, the basis of assessment can be "professional skills" for the employment types lecturer and senior lecturer. This applies to applicants who will teach in an education were proven experience is of importance. At UB this includes qualified experience outside the education- and research sector and with the emphasis on development and innovation. The assessment shall be qualitative and the experiences validated. According to the Rules for Recruitment and Promotion of Teaching Staff (Regler vid rekrytering och befordran av lärare, Reg. 760-18) the external experts compiles a general presentation of all applicants, in which they briefly describe each applicant's scientific/artistic, pedagogical and other qualifications that are of importance to the employment. Suitability when it comes to the	

		most important eligibility requirements are reported separately and a weighting of all the applicant's qualifications are made. The assessment is made partly with respect to each of the most important eligibility requirements and partly as an overall assessment. **Identified gap:** • None	
20. Seniority (Code)	++	**Relevant national legislation and regulations:** **Instrument of Government, Chapter 11, Section 9 -** Regeringsformen **Public Employment Act (1994:260) Section 4 -** Lagen om offentlig anställning **Swedish Higher Education Act (1992:1434) Chapter 1 § 6 -** Högskolelagen **Discrimination Act (2008:567) -** Diskrimineringslagen **Collective agreement for Postdoc -** Kollektivavtal för Postdocs **Relevant organisational regulations:** UB works actively to include diversity in the recruitment process. This includes ensuring that persons irrespective of gender, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age are given the opportunity to apply for vacant positions. Furthermore, there shall be equality in terms of employees working conditions, salaries, career opportunities and chances to combine professional careers with responsibility for home and family as stated in the Policy for equal opportunities (Policy för lika villkor, 479-19). The recruitment process shall be characterized by objectivity, legal security and transparency as described in the Appointments Procedure (Anställningsordning, Reg. 761-18).The employment profile includes subject name, subject content/description, responsibilities, eligibility and other qualification requirements. The design of the employment profile is of great importance for legal security and efficiency in the process. It describes the eligibility requirements that apply to the specific employment based on defined tasks. In order to ensure objectivity and quality of the profile, different categories of staff are involved in the process, for example the employer / work leader, the HR specialist and the head of the employment committee. **Identified gap:** • None	
21. Postdoctoral appointments (Code)	++	**Relevant national legislation and regulations:** **Employment Protection Act (SFS 1982:80) § 5** - Lagen om anställningsskydd **Collective agreement for Postdoc positions, including negotiation protocol** – Kollektivavtal för Postdocs inklusive förhandlingsprotokoll	

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Relevant organisational regulations:

In UB Appointments Procedure (Anställningsordning, Reg. 761-18) the qualification requirements and basis of assessment for postdoctoral appointments are stated. In the recruitment of a postdoctor, assessment is normally done by an internal expert. Postdoctors are employed by UB, normally during a period of maximum 2 years. To be employed as a postdoctor the applicant must have completed doctoral studies or hold an equivalent international degree. The applicant must furthermore fulfil the qualification requirements and have the personal experiences and characteristics suitable for the position. Postdoctors main tasks are to conduct research but teaching can be included in the position, to a maximum of 20% of the working hours.

Identified gap:
- None

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Working Conditions and Social Security

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22. Recognition of the profession

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Relevant national legislation and regulations:
Swedish Higher Education Act (1992:1434) chapter 1 §6 and chapter 2 §6. - Högskolelagen
Employment Protection Act (1982:80) - Lagen om anställningsskydd

Relevant organisational regulations:
Most researchers, already from the doctoral level, are employed by UB and accordingly covered by the Local Collective Agreement (Lokalt villkorsavtal Reg. 889-18), the Local Working Hours Agreement (Lokalt arbetstidsavtal, Reg. 663-16) as well as employee contributions and benefits.

Doctoral students are sometimes financed by external scholarships; this is however only allowed if the insurance and financial support for the entire study period are ensured at the time of admission. Industry doctoral students complete their doctoral studies at UB at least on a half-time basis. They are employed at a company, municipality or other public authority/organisation and the employer's conditions apply.
Guest researchers, postdoctors and doctoral students, from outside Schengen, are covered by a group insurance, which UB has concluded with the Legal, Financial and Administrative Services Agency (Kammarkollegiet).

The processes and responsibilities in promotion of staff are describe In the Rules for Recruitment and Promotion of Teaching Staff (Regler vid rekrytering och befordran av lärare, Reg. 760-18). Teachers who are employed as assistant senior lecturer or permanently employed as assistant professor, senior lecturer or lecturers must, upon application by the teacher or on the initiative of the employer, be given the opportunity within the framework of his/her employment to be evaluated for promotion to a higher position. The evaluation must be carried

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		out with equal care and accuracy and considering the same eligibility requirements and assessment grounds that are applied in recruiting new employees. **Identified gap:** • None	
23. Research environment	+/-	**Relevant national legislation and regulations:** **Work Environment Act (1977:1160) - Arbetsmiljölagen** **Work environment ordinance (1977:1166) - Arbetsmiljöförordningen** **Discrimination Act (2008:567) - Diskrimineringslagen** **Social Insurance Act (2010:110) - Socialförsäkringslagen** **Flammable and explosive goods act (2010:1011) - Lag om brandfarliga och explosiva varor** **Flammable and explosive goods ordinance (2010:1075) - Förordning om brandfarliga och explosiva varor** **Protection against accidents act (2003:778) - Lag om skydd mot olyckor** **Protection against accidents ordinance (2003:789) - Förordning om skydd mot olyckor** **Environmental Code (1988:808) - Förordning med instruktion för statens energiverk** **Parental leave act (1995:584) - Föräldraledighetslagen** **Relevant organisational regulations:** The university's research is divided into six prioritised areas, which are based on the needs of the education, the research expertise at the university as well as the relevance to the surrounding society. High scientific and artistic level is a matter of course, and the activities are characterised by cross-disciplinary approaches. Collaborations with external actors are an integrated part of research. This is also a prerequisite for a continued development of the university's ambitions of being a sustainable university and offering complete academic environments in all prioritised areas. Within each prioritised area, research at UB is organised in research groups and each research group has an appointed group leader. Furthermore, UB has seven research centres that are strategically important for collaboration with society. The centres gather skills and competences from several research areas and research groups. UB's physical research environments include everything from natural science labs, textile labs, retail labs and a clinical training center. There is a variety and quantity of machines, instruments, and other resources. To further improve the research environment, it has been established in the **Assignment for Research Group Leaders** (Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19) that *all research groups must have Research Plans* for the coming 3-5 years. These plans, which will be *followed up annually in Research Advisory Councils*, include strategies to improve the research facilities and enhance career development for the group members.	**Initiatives undertaken/suggestions for improvement:** -Development of Research Plans for all research groups -Development and implementation of Research Advisory Councils

The Work Environment Policy (Arbetsmiljöpolicy, Reg. 734-17) of UB describes how the working conditions in the organisation shall prevent illness and accidents at work and how a satisfying working environment shall be achieved. In order to evaluate the work environment and the working conditions, safety rounds, employee surveys, and doctoral surveys are carried out on a regular basis.

Identified gap:
- Research Plans to be developed for all research groups at UB
- Research Advisory Councils need to be developed and implemented

| 24. Working conditions | ++ | **Relevant national legislation and regulations:**
Work Environment Act (1977:1160) - Arbetsmiljölagen
Work environment ordinance (1977:1166) - Arbetsmiljöförordningen
Discrimination Act (2008:567) - Diskrimineringslagen
Social Insurance Act (2010:110) - Socialförsäkringslagen
Flammable and explosive goods act (2010:1011) - Lag om brandfarliga och explosiva varor
Protection against accidents act (2003:778) - Lag om skydd mot olyckor
Protection against accidents ordinance (2003:789) - Förordning om skydd mot olyckor
Environmental Code (1988:808) - Förordning med instruktion för statens energiverk
Parental leave act (1995:584) - Föräldraledighetslagen

Relevant organisational regulations:
Regulations regarding employment at the University of Borås can be found in the Local Collective Agreement (Lokalt villkorsavtal Reg. 889-18). In the agreement the areas of working time, parental leave, salaries etc. are covered.

UB's Local Working Hours Agreement (Lokalt arbetstidsavtal, Reg. 663-16) regulates how the working hours shall be distributed. In addition, the agreement describes the distribution of tasks for different categories of staff; lecturer, senior lecturer, professor etc.

The organisation of the work environment is regulated by the **Local Work Environment agreement** (Lokalt arbetsmiljöavtal (Swedish only), Reg. 441-17). The basis for developing the work environment is established in the university **Work Environment Goals** (Högskolegemensamma arbetsmiljömål (Swedish only), Reg. 783-17) and the goals form the basis of the general **Action Plan for Systematic Work Environment Quality Assurance** (Övergripande handlingsplan för systematiskt arbetsmiljöarbete (Swedish only), Reg. 1060-19).

Every second year UB performs an employee survey where questions regarding work environment and discrimination are asked. Any anomalies are in this way be detected and taken care of and included in the Action Plan for Systematic Work Environment. UB furthermore | |

distribute a student survey (studentbarometer) as well as a survey for doctoral students (doktorandbarometer). Questions about working conditions are included in all these surveys. According to the Policy for equal opportunities (Policy för lika villkor, 479-19) UB is undertaking strategic work in the areas of increased diversity, gender equality and accessibility and has as an overarching goal that all individuals shall have equal opportunities regardless of gender, gender identity, age, sexual orientation, ethnic origin, religion or other beliefs or disabilities. There shall be equality in terms of employees working conditions, salaries, career opportunities and chances to combine professional careers with responsibility for home and family.

In the **Action plan for Gender Mainstreaming** (Handlingsplan för jämställdhetsintegrering, (Swedish only), Reg. 253-17) it is stated that a gender equality perspective must be considered in all decisions and at all levels and processes at the university. The goals in the area of career paths involve increased proportion of female professors, equal distribution of internal research funding and decrease of the pay gap between women and men. This is followed up annually in the Vice-Chancellor's Advisory and Quality Council.

The HR department provides support in questions regarding working conditions and in addition, UB has an agreement with an occupational health care service that can assist in these matters.

Identified gap:
- None

25. Stability and permanence of employment	++	**Relevant national legislation and regulations:** **Employment Protection Act (1982:80) -** Lagen om anställningsskydd Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below: • Probationary period, not exceeding six months • General temporary-term ALVA • Substitute • Seasonal work • Workers from age 67 **General temporary ALVA (1982:80 §5a)** A worker may be employed for a defined time on a general temporary employment, ALVA. There are no specific conditions for employment according to ALVA. Though, when a worker has been employed with the support of the ALVA in aggregate more than two years during the last five years, the employment is transformed to a permanent employment. Other temporary employment besides ALVA does not qualify for a permanent position. **Employment Regulation (1994:373) -** Anställningsförordningen **Act (2002:293) prohibiting discrimination against part-time workers and workers with fixed-term contracts -** Lag om förbud mot diskriminering av deltidsarbetande arbetstagare och arbetstagare med tidsbegränsad anställning	

		Higher Swedish Education Act (1992:1434) - Högskolelagen **Regulation of higher education (1993:100) Chapter 4-5 - Högskoleförordningen** **Relevant organisational regulations:** The employment types possible for the different categories of staff are described in the Appointments Procedure (Anställningsordning, Reg. 761-18). For example, the employment category professor is always a permanent employment based on the "Regulation of higher education", and a senior lecturer can be either permanently or temporarily employed according to the "Employment protection act". Doctoral students are usually employed by UB. The conditions for doctoral students can be found in the Rules for Doctoral Studentship (Regler vid doktorandanställning, Reg. 005-16). Doctoral students normally have a maximum of 20% teaching and institutional activities; thus 4 years of doctoral education is carried out during 5 years' time. Internal scholarships or doctoral grants are not allowed, but internally financed doctoral students are employed by UB. Other forms of external scholarships can be allowed if the doctoral student's insurance and financial conditions can be ensured at the time of admission. Scholarship funding is possible for those who (1) falls within the framework of an aid and capacity-building program in which the university has insight into the conditions or (2) is EU-funded or based on collaborations where scholarship constitutes an accepted form of financing and where the requirement of employment becomes an obstacle to the university's participation. There are also some Industry doctoral students, employed at a company, municipality or other public authority/organisation and, at the same time, completing doctoral studies at UB at least on a half-time basis in the context of the employment. Industry doctoral students receive salary from their employer. **Identified gap:** • None	
26. Funding and salaries	++	**Relevant national legislation and regulations:** **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. https://www.arbetsgivarverket.se/avtal--skrifter/ **The Legal, Financial and Administrative Services Agency** (Kammarkollegiet) provides a national group insurance covering all foreign scientists doing research. http://www.kammarkollegiet.se/english/insurance	

		The Swedish Pensions Agency (Pensionsmyndigheten) administers and disburses the national pension, but also provide both general and individual information about pensions. https://www.pensionsmyndigheten.se/ **Relevant organisational regulations:** Regulations regarding employment at the University of Borås can be found in the Local Collective Agreement (Lokalt villkorsavtal Reg. 889-18). In the agreement, salaries and wages for different categories of staff, including doctoral students, are described. Furthermore, parental leave, vacation and travel compensation are covered in the agreement. Other steering documents that governs funding and salaries involve the **Salary Policy** (Lönepolitik, (Swedish only), Reg. 616-14). Once a year the HR department conduct a salary survey (lönekartläggning). The purpose of the survey is to detect, correct and prevent differences in salaries between the genders. Based on the results, the development areas are compiled in an action plan, and handled accordingly. The salaries for doctoral students are set in a doctoral student ladder (doktorandtrappa), which is negotiated with the trade union and revised on a yearly basis. Doctoral students are sometimes financed by external scholarships; see also **principle 25**. Their funding corresponds to what employed doctoral students receive. Guest researchers, postdoctors and doctoral students, from outside Schengen, are covered by a group insurance, which UB has concluded with the Legal, Financial and Administrative Services Agency (Kammarkollegiet). **Identified gap:** • None	
27. Gender balance	++	**Relevant national legislation and regulations:** **Discrimination Act (2008:567) - Diskrimineringslagen** **The Swedish Gender Equality Agency** (**Jämställdhetsmyndigheten**) is a national authority working within the field of gender mainstreaming and is also in charge of development programs that is supporting Swedish higher education institutions and a large number of government agencies in their gender mainstreaming work. **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 institutions in their gender mainstreaming efforts 2016-2019. This assignment has now been prolonged. **The Equality Ombudsman** (**Diskrimineringsombudsmannen**) is a government agency that promotes equal rights and opportunities and combats discrimination	

Relevant organisational regulations:
UB has a number of steering documents and regulations which include gender balance:
Policy for equal opportunities (Policy för lika villkor, 479-19) - UB is undertaking strategic work in the areas of increased diversity, gender equality and accessibility and has as an overarching goal that all individuals (applicants, students and employees) shall have equal opportunities regardless of gender, gender identity, age, sexual orientation, ethnic origin, religion or other beliefs or disabilities.

Action Plan for Gender Mainstreaming (Handlingsplan för jämställdhetsintegrering, Reg. 253-17) - A gender equality perspective must be considered in all decisions and at all levels and processes at the university. UB has chosen to focus on two areas in the action plan for integration of equality. One is gender-based study choices and the other is career paths. The goals in the area of career paths include the following:
- Increased proportion of female professors
- Qualification possibilities regardless of gender
- Internal research funding to be distributed equally
- Equality in staff categories
- Decreased gender difference in salaries
- Participating in formal and informal assignments should be viewed as a merit regardless of career path

To each goal, there are a number of processes and actions that are focused on developing and fulfilling the goals.

Appointments Procedure (Anställningsordning, Reg. 761-18) - UB shall work to create opportunities for people of different sex, transgender identity or expression, age, ethnicity, religion or other belief, disability, or sexual orientation to apply to vacant posts at the University.

In the Rules for Recruitment and Promotion of Teaching Staff (Regler vid rekrytering och befordran av lärare, Reg. 760-18) it is described that gender equality aspects should be taken into account consistently. This applies to the composition of different boards and committees and when assessing applications from applicants of different genders. If one of the genders is represented with less than 40 percent, this gender is considered to be the underrepresented at the University of Borås. When a woman and a man are competitors of employment, and their merits are assessed to be essentially equal, the applicant of the underrepresented gender will primarily be considered for employment.

		Identified gap: • None	
28. Career development	-/+	**Relevant national legislation and regulations:** **The Higher Education Ordinance (1993:100) chapter 6, §§28, 29 – Högskoleförordningen** Proposal in progress, SOU 2016:29 **Relevant organisational regulations:** The Department of Educational Research and Development (PUF) offers courses and training for teachers in higher education who seek to develop their pedagogical awareness and skills. PUF also offers courses in ICT for teaching, courses for supervisors of students including doctoral students, which is important for researchers to make progress in their research career. The processes and responsibilities in promotion of staff are describe In the Rules for Recruitment and Promotion of Teaching Staff (Regler vid rekrytering och befordran av lärare, Reg. 760-18). Employees in certain categories have the possibility to be assessed for promotion to a higher position within the framework of the employment. All employees at UB are covered by a Security Agreement (Trygghetsavtal via Trygghetsstiftelsen). They assist employees whose employment has been terminated, due to a lack of work or who have a fixed-term employment that runs out, with the goal of finding new employment based on the need and interest of the employee. Doctoral students receive career guidance from the university's student services. However, it needs to be evaluated whether this service needs to be improved for these students and whether it should be extended for other research categories (especially R2). The Research Group Leaders are responsible for supporting the group members' acquisition of qualifications and scientific development as well as in assisting members' career development. This is established in the **Assignment for Research Group Leaders** (Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19). These *Research Plans are currently being developed for all research groups* at the university and will be *followed up in Research Advisory Councils* that will be established at the university. Staff evaluation and development is carried out through staff appraisals such as performance reviews and salary-setting dialogues, described in the **Salary Policy** (Lönepolitik, (Swedish only), Reg. 616-14). In the performance review the past performance and the future development is discussed and individual goals for the employee as well as a development plan are agreed on. *There may be a need for a larger focus on career guidance during these meetings.* See also **principle 30.**	**Initiatives undertaken/suggestions for improvement:** -Evaluate whether career guidance needs to be improved for doctoral students and whether it should be extended for other research categories (especially R2) -Development of Research Plans for all research groups -Development and implementation of Research Advisory Councils -Investigation of the need for leaders to explicitly include career guidance during performance review meetings

			Identified gap:	
			• There is a need to evaluate whether career guidance needs to be improved for doctoral students and whether it should be extended for other research categories (especially R2) • Research Plans to be developed for all research groups at UB • Research Advisory Councils need to be developed and implemented • There may be a need for a larger focus on career guidance during performance reviews and salary-setting dialogues	
29. Value of mobility	+/-	**Relevant organisational regulations:** The quality of the university's education and research, as well as its societal relevance, are strengthened by global, national, and local strategic collaborations. The Policy for Internationalisation (Internationaliseringspolicy, Reg. 738-18) states that employees' international experiences are seen as a merit by UB. By having the proper competence for their work, employees contribute to the university's international environment. As a continuation, *strategic goals for internationalisation are in the process of being developed*. UB is actively promoting mobility by collaborating with partner organisations in the framework of Horizon2020, Erasmus+, STINT, PAUS, MORE, VGR etc. This includes both international and intersectorial exchange. At UB there are Centres for external engagement and a Science Park which function as the interface between the university and external partners. The Science Park Borås creates synergies between university, businesses and municipality and attract companies and competences. In UB's **Salary Policy** (Lönepolitik, (Swedish only), Reg. 616-14) it is stated that the employee/researcher should be actively involved in research and doctoral education and integrate current research/artistic development in educational programmes. This can for example be made through establishing, maintaining and developing national and international partnerships and collaborations. This is also one area to reflect upon in the Performance reviews, according to the guidelines. However, *there may be a need for a larger focus on mobility during these meetings.* Once a year the **Individual Study Plan** (ISP) for doctoral students is revised and during this meeting, the mobility activities and planned conferences are discussed. Doctoral students can also discuss planned mobility activities and set up development goals during their performance review meetings.	**Initiatives undertaken/suggestions for improvement:** -Strategic goals for internationalisation to be developed -Evaluation of the need for incentives and recognition of mobility to be included in appraisal system

		Identified gap: • Lack of UB goals for internationalisation • Incentives for and recognition of mobility in the appraisal system may need to be developed	
30. Access to career advice	-/+	**Relevant national legislation and regulations:** **The Higher Education Ordinance (1993:100), chapter 6, §§28, 29 - Högskoleförordningen** **Relevant organisational regulations:** UB's Local Working Hours Agreement (Lokalt arbetstidsavtal, Reg. 663-16) regulates how the working hours shall be distributed. In addition, the agreement describes the distribution of tasks; research, education, in-service training etc, for different categories of staff; lecturer, senior lecturer, professor etc. Planning of activities takes place in joint consultation and results in a plan for distribution of tasks, including development and collaboration activities. Doctoral students receive career guidance from the university's student services. However, it needs to be evaluated whether this service needs to be improved for these students and whether it should be extended for other research categories (especially R2). Staff evaluation and development is carried out through staff appraisals such as performance reviews and salary-setting dialogues, described in the **Salary Policy** (Lönepolitik, (Swedish only), Reg. 616-14). In the performance review the past performance and the future development is discussed and individual goals for the employee as well as a development plan are agreed on. *There may be a need for a larger focus on career guidance during these meetings.* At least once a year the **Individual Study Plan** (ISP) for doctoral students is revised and during this meeting the career development and planned activities, e.g. conferences, are discussed. In addition, doctoral students have the possibility to contact UB Student <Career Services for advice in regards to career development and the labour market. See also **principle 28.** **Identified gap:** • There is a need to evaluate whether career guidance needs to be improved for doctoral students and whether it should be extended for other research categories (especially R2) • Research Plans to be developed for all research groups at UB • Research Advisory Councils need to be developed and implemented	**Initiatives undertaken/suggestions for improvement:** -Evaluate whether career guidance needs to be improved for doctoral students and whether it should be extended for other research categories (especially R2) -Development of Research Plans for all research groups -Development and implementation of Research Advisory Councils

| 31. Intellectual Property Rights | ++ | **Relevant national legislation and regulations:**
Act (1949: 345) on the Right to Employee Inventions - Lag om rätten till arbetstagares uppfinningar
Swedish Higher Education Act (1992:1434) 3a §, 1 kap 6 § - Högskolelagen
Please note; *Principles for handling intellectual property in research agreements (Principer för immaterialrättslig hantering i forskningsavtal)* by the Association of Swedish Higher Education, is recommended as praxis for Swedish Higher Education Institutes.

Relevant organisational regulations:
The Grants and Innovation Office (GIO) at UB offers advice and support regarding external funding and strategic research planning. Furthermore, they offer legal support regarding contract management and legal advice on research and innovation matters, to staff participating in research projects or external engagement. GIO supports researchers with the legal framework applicable to projects in order to fulfil requirements from funders and to comply with relevant laws, policies and regulations. Support for the development of intellectual property strategies is crucial so that researchers benefit from the results, whether for academic activities or commercialization. With both legal advice and innovation advice, the GIO offers help in creating the necessary agreements and structures for the research results. GIO also offers courses in Intellectual Property Rights.

See also **principle 5** above.

Identified gap:
• None | |
| 32. Co-authorship | ++ | **Relevant national legislation and regulations:**
There is no specific 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 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 Institutes.

Relevant organisational regulations:
All researchers who are responsible for supervising doctoral students must complete a course in Supervising doctoral students. The course covers legal and ethical aspects and rights for doctoral students. Furthermore, the role of the **Individual Study Plan** (ISP), co-publishing and criticism of texts is reflected. Different dimensions of power relations, conflicts and ethical considerations are addressed in the course. | |

			There is no additional organisational regulations at UB regarding co-authorship, thus praxis varies from one research area to another. However, the doctoral student and the supervisor discuss the authorship of different articles during the reviews of the ISP. **Identified gap:** • None	
33. Teaching		+/-	**Relevant national legislation and regulations:** **Higher Education Ordinance (1993:100) Chapter 5, section 2 - Högskoleförordningen** 'Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.' **Relevant organisational regulations:** UB's Local Working Hours Agreement (Lokalt arbetstidsavtal, Reg. 663-16) regulates how the working hours shall be distributed. In addition, the agreement describes the distribution of tasks and all categories of staff have time for teaching allocated. An associate professor or senior lecturer shall for example normally have a maximum of 70% teaching activities and a minimum of 20% professional development, which can include research activities. Some *newly appointed lecturers consider that 20% is too little to perform research of sufficient quality and quantity at this stage of their research careers.* When possible, postdoctors and doctoral students are offered the possibility to teach. They normally have a maximum of 20% teaching activities. Their doctoral/postdoctoral periods are extended by the amount of time they have contributed to teaching. International doctoral students and postdoctors can teach in UB master programmes taught completely in English. The actual time that a doctoral student spends on teaching is followed up in their **Individual Study Plan** (ISP). Despite this *some doctoral students experience that they spend more than 20% of their time on teaching.* All teaching staff employed by UB must complete a course "Teaching in Higher Education" of at least 10 weeks full-time studies or have acquired equivalent knowledge. In addition, all researchers who are responsible for supervising doctoral students must complete a course "Supervising doctoral students". Doctoral students are required to complete the course "Introduction to Teaching and Learning in Higher Education" which is three weeks full-time equivalent. See also **principle 3 and 16**.	**Initiatives undertaken/suggestions for improvement:** - Investigation of the possibility of giving newly appointed researchers sufficient research time to support their career development - Improvement of the follow up process regarding doctoral students' ISPs to ensure that they spend the appropriate amount of time on teaching

		Identified gap: • Newly appointed lecturers may need more research time to support their career development • Teaching sometimes takes more than 20% of doctoral students study time, although this is followed up in their ISP	
34. Complaints/ appeals	++	**Relevant national legislation and regulations:** **Work Environment Act (1977:1160) - Arbetsmiljölagen** **Systematic work regulations (2001:1) - Systematiskt arbetsmiljöarbete, föreskrifter** **Organisational and social working environment (2015:4) - Organisatorisk och social arbetsmiljö** **Discrimination Act (2008:567) - Diskrimineringslagen** **Relevant organisational regulations:** In addition to the regulations mentioned above and the systematic work environment processes at the university, see **principle 24**, UB has a Student Ombudsman who gives support in study related matters, e.g. disciplinary matters or unacceptable behaviour. All doctoral students have at least two supervisors to turn to and in the **Rules for Changing Supervisors** (Regler för byte av handledare för doktorand (Swedish only), Reg. 007-16) it is described that if problems arise with the supervision, doctoral students always have the right to change supervisors. Requests for a change of supervisor is done in writing to the director of studies and the board concerned. If an employee has been subjected to offensive treatment, there are guidelines and procedures for how it should be handled. See also **principle 10** about Routines and Guidelines regarding Victimization and Harassments. Research misconduct is handled according to the **Regulations for Dealing with Research Misconduct**, see also **principle 2**. The HR department provides support in work environment and health related issues or conflicts. In addition, UB has an agreement with an occupational health care service that can assist in these matters. In order to evaluate the work environment and the working conditions, safety rounds, employee surveys, and doctoral surveys are carried out on a regular basis. See also **principle 23**. **Identified gap:** • None	

| 35. Participation in decision-making bodies | +/- | **Relevant national legislation and regulations:**
Swedish Higher Education Act (1992:1434) Chapter 2 §6. - Högskolelagen
Higher Education Ordinance (1993:100) Chapter 2 §7a - Högskoleförordningen

Relevant organisational regulations:
Researchers at UB can be representatives in certain decision-making and/or counselling bodies, which gives them the opportunity to influence the university's activities and decisions. The most important of these bodies are the **Research and Education Board** (FoU-nämnden) and the **Artistic Research and Education Board** (KFU). These bodies are organised directly under the Governing Board. FoU-nämnden and KFU are involved in the quality assurance and development of the research and education at the university.
FoU-nämnden and KFU (and hence the researchers that select their members) also play a central role in the development of the university since they appoint the committees that, for example, support employment and promotion at the university.. They are also responsible for the process of selecting new doctoral students and following up their progress throughout their study period. See also **Principle 13** regarding the Employment committee
Representative from FoU-nämnden and KFU also participate in:

• The Vice-Chancellor's Advisory and Quality Council
• The Vice-Chancellor´s Board Council

Representatives to the Governing Board, FoU-nämnden and KFU are selected through elections, to ensure that they are made according to applicable rules. The election board is governed by the university's **Regulations for election of representatives to the University Board** (Regler för val av lärarrepresentanter till styrelsen (Swedish only), Reg. 417-15)) and the **Regulations for election of representatives to Research and Education Boards** (Regler för val till nämnder (Swedish only), Reg. 434-14). The boards appoint representatives to the councils as established in the **Organisational and Decision-making Ordinance for the Research and Education Councils** (Organisations-, och beslutsordning för forskarutbildningsutskott och utbildningsutskott (Swedish Only), Reg. 246-15 and 462-14).

As described above there is a link between the boards that are selected by researchers and the university leadership. This link is not as strong at the faculty level. This is something that is being developed in the form of *Research Advisory Councils where research group leaders will meet with dean of faculties on a yearly basis.*

In order to directly or indirectly influence the doctoral education at UB, doctoral student representatives are invited to be part of the following:

• Research and Education Board
• Artistic Research and Education Board | **Initiatives undertaken/suggestions for improvement:**

- Development and implementation of Research Advisory Councils |

		• Research Education Committees Doctoral student representatives are selected by the Doctoral Student Committee. **Identified gap:** • Research Advisory Councils need to be developed and implemented	

Training and Development

36. Relation with supervisors	++	**Relevant national legislation and regulations:** **Higher Education Ordinance (1993:100) Chapter 6, section 28 - Högskoleförordningen** 'At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student* is entitled to supervision during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor.' *PhD candidate is called doctoral student in Swedish. **Relevant organisational regulations:** For doctoral education at UB, there is a General Study Plan that describes the content of the education, its aims and goals, admission, structure, supervision, examination and otherwise regulate how the programme is conducted. In an **Individual Study Plan** (ISP) the doctoral student, the supervisors and examiner agree on the content of the doctoral education. It shall be drawn up within three months from admission of the doctoral student and reviewed at least once a year. The purpose of the study plan is to systematise the education activities and the progression and learning outcomes throughout the doctoral studies. All doctoral students at UB have an appointed supervisor and at least one assistant supervisor. The **Rules for Changing Supervisors** (Regler för byte av handledare för doktorand (Swedish only), Reg. 007-16) describe that if problems arise with the supervision, doctoral students always have the right to change supervisors. See also **principle 34**. Within each area with doctoral degree education, there is a director of studies that doctoral students can turn to with issues related to the specific programme. Directors of studies are responsible for ensuring that the studies are followed up on at least once a year and they also participate in the follow-up meetings. Questions concerning the work environment and labour legislation is however the responsibility of the head of department, to whom both doctoral students and supervisors can turn to. The dates of the meetings between the doctoral students and the heads of departments are also followed up in the ISP.	

		Identified gap: • None	
37. Supervision and managerial duties	+/-	**Relevant organisational regulations:** Senior researchers strive to succeed with their multi-faceted roles as supervisors, mentors, leaders, teachers etc. to the highest professional standards. They are supported in their role by the Head of Department and Director of Studies. Senior researchers are expected to assist colleagues in their research groups with their career development. The Department of Educational Research and Development (PUF) offers courses for supervisors to doctoral students. The HR department offer a leadership programme for all leaders at UB. UB also organises a research group leadership program in collaboration with University West and University of Skövde. The purpose is to strengthen the competence of the participants in the area of leadership of research. As mentioned in **principle 33**, UB's Local Working Hours Agreement (Lokalt arbetstidsavtal, Reg. 663-16) describe the allocation of working hours and the distribution of tasks. An associate professor or senior lecturer shall for example normally have a maximum of 70% teaching activities and a minimum of 20% professional development, including research. All categories of staff have time allocated for professional development as well as other tasks. This ensures that senior researchers have sufficient time for their activities. The allocation of tasks is planned individually, and a **Work Task Plan** (tjänstgöringsplan) is agreed upon between the researcher and the leader and are followed up during staff evaluations. The Research Group Leaders are responsible for supervising and managing the group members. This is established in the **Assignment for Research Group Leaders** (Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19). Each group leader must have a research plan for the coming 3-5 year period. These *Research Plans are currently being developed for all research groups* at the university and will be *followed up in Research Advisory Councils* that will be established at the university. **Identified gap:** • Research Plans to be developed for all research groups at UB • Research Advisory Councils need to be developed and implemented	**Initiatives undertaken/suggestions for improvement:** -Development of Research Plans for all research groups -Development and implementation of Research Advisory Councils
38. Continuing Professional Development	+/-	**Relevant national legislation and regulations:** **The Higher Education Ordinance (1993:100), Chapter 6 §29 - Högskoleförordningen** 'An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable	**Initiatives undertaken/suggestions for improvement:**

		for the doctoral student's study program. The plan shall be adopted after consultation with the doctoral student and his or her supervisors.' **Relevant organisational regulations:** Staff at UB have several opportunities to engage in professional development. As mentioned above, the Department of Educational Research and Development (PUF) offers courses and training for teachers in higher education. PUF also offers courses in for example ICT for teaching and courses for supervisors of students including doctoral students. The HR department offer a leadership programme for all leaders at UB. UB also organises a research group leadership program in collaboration with University West and University of Skövde. The purpose is to strengthen the competence of the participants in the area of leadership of research. As mentioned above, UB's Local Working Hours Agreement (Lokalt arbetstidsavtal, Reg. 663-16) describes the allocation of working hours and the distribution of tasks. All categories of teaching staff have time allocated for research and/or professional development as well as other tasks. Staff evaluation and development is carried out through staff appraisals such as performance reviews and salary-setting, as mentioned in **principle 30**. The allocation of tasks is planned individually and a **Work Task Plan** (tjänstgöringsplan) is agreed upon between the researcher and the leader, and are followed up during staff evaluations. As mentioned above, see **principle 28**, the processes and responsibilities in promotion of staff are describe In the Rules for Recruitment and Promotion of Teaching Staff (Regler vid rekrytering och befordran av lärare, Reg. 760-18). The Research Group Leaders have a mission to support the group members' acquisition of qualifications and scientific development. This is established in the **Assignment for Research Group Leaders** (Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19). Each group leader must have a research plan for the coming 3-5 year period. These *Research Plans are currently being developed* for all research groups at the university and will be *followed up in Research Advisory Councils* that will be established at the university. **Identified gap:** • Research Plans to be developed for all research groups at UB • Research Advisory Councils need to be developed and implemented	-Development of Research Plans for each research group -Development and implementation of Research Advisory Councils
39. Access to research training and continuous development	+/-	**Relevant national legislation and regulations:** **Higher Education Ordinance (1993:100), Chapter 6, §29 - Högskoleförordningen**	**Initiatives undertaken/suggestions for improvement:**

		Relevant organisational regulations:	-Development of Research Plans for each research group
		See **principle 38** regarding the Local Working Hours Agreement and Rules for Recruitment and Promotion of Staff.	
		As mentioned at **principle 28**, the Department of Educational Research and Development (PUF) offers courses and training for teachers in higher education who seek to develop their pedagogical awareness and skills. PUF also offers courses in ICT for teaching, courses for supervisors of students including doctoral students, which is important for researchers to make progress in their research career.	-Development and implementation of Research Advisory Councils
		The HR department offer a leadership programme for all leaders at UB. UB also organises a research group leadership program in collaboration with University West and University of Skövde. The purpose is to strengthen the competence of the participants in the area of leadership of research.	
		Furthermore, UB offers courses for staff in for example law, work environment and human rights. There is also a possibility of development through international cooperation activities, for example courses, seminars, staff exchange and projects with partner universities, with support from for example Erasmus+, STINT and Marie Curie. Doctoral students are encouraged to attend conferences and to create networks that are important for their continuous development. This is followed up yearly during the doctoral student's ISP meetings.	
		As mentioned above, the Research Group Leaders have a mission to support the group members' acquisition of qualifications and scientific development as established in the **Assignment for Research Group Leaders** (Högskolegemensamt uppdrag till forskargruppsledare (Swedish only), Reg. 1012-19). Each group leader must have a research plan for the coming 3-5-year period. These *Research Plans are currently being developed* for all research groups at the university and will *be followed up in Research Advisory Councils* that will be established at the university.	
		Identified gap: • Research Plans to be developed for all research groups at UB • Research Advisory Councils need to be developed and implemented	
40. Supervision	++	**Relevant national legislation and regulations:** **Higher Education Ordinance (1993:100) Chapter 6 §§28-29** - **Högskoleförordningen** 'At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student is entitled to supervision during his	

or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor.'

'An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher 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.'

Relevant organisational regulations:
For doctoral education at UB, there is a General Study Plan that describes the content of the education, its aims and goals, admission, structure, supervision, examination and otherwise regulate how the programme is conducted. Each doctoral student shall have at least two appointed supervisors, one of them as the principal supervisor and one or several as co-supervisors. The principal supervisor should be either a docent or a professor and should have doctoral supervisory training (see also **principle 3** and **16**). Both the principal supervisor and co-supervisors should be well acquainted with the subject of the thesis. The committees appoint the supervisors and ensure that they meet the requirements. Doctoral students are entitled to a total of 400 hours of supervision (including the supervisor's preparations), distributed over the entire period of study. All doctoral students follow a program that is continuously updated in consultation with the supervisors, whose responsibility is to support, discuss, read and critically review the doctoral students work, as well as guide them in their efforts in order to reach the intended learning outcomes.

In the Individual Study Plan the doctoral student and the supervisors and examiner agree on the content of the doctoral education. It shall be drawn up within three months from admission and reviewed at least once a year. See also **principle 36.**

Identified gap
- None

TEMPLATE 3 – OTM-R Checklist

Case number: **2019SE474125**

Name Organisation under review: University of Borås, Sweden

Organisation's contact details: Kim Bolton, Pro Vice-Chancellor (kim.bolton@hb.se)

SUBMISSION DATE: 15 DECEMBER 2020

DATE ENDORSEMENT CHARTER AND CODE: The process was initiated on 8 October 2018 by a decision taken by the former Vice-Chancellor Björn Brorström. The Endorsement letter was decided upon by Vice-Chancellor Mats Tinnsten on **16 December 2019** and the endorsement was approved by EURAXESS on 20 December 2019.

OTM-R CHECKLIST

A specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment (OTM-R). Please report on the status of achievement, also detail on the indicators and the form of measurement used.

OTM-R checklist for organisations					
	Open	**Trans-parent**	**Merit-based**	**Answer:** ++ Yes, *completely* +/-Yes, *substantially* -/+ Yes, partially -- *No*	***Suggested indicators (or form of measurement)**
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	**++**	As a state university, UB is bound by national legislation that governs the recruitment processes. OTM-R practices are included in Vision, Objectives and Strategies

					For UB, the following also apply: Appointments Procedure. All these documents are published in Swedish and English on the UB web page.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++	Appointments Procedure and Rules for the Recruitment and Promotion of University Teachers (updated regularly) sets the framework for the process and practice regarding recruitment of all positions. All types of positions are published the UB web page.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-	There are no training programmes at UB for OTM-R per se. However, there is an introduction course for those who are new to leadership positions. Members of the Appointment Committee are expected to be well acquainted with all governing documents relevant to recruitment. All HR specialists who assist managers in recruitment have completed the training "Recruiting of government employees" through the Swedish Agency for Government Employers. The HR department is involved, more or less, in all steps regarding recruitment.
4. Do we make (sufficient) use of e-recruitment tools?	x	x	x	++	The recruitment system ReachMee is used for most steps in the recruitment process. Most commonly used is advertisements, forms for applications, selection and communication with candidates. The system can also be used for interview guide and references.
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	Based on the university's governing document for recruitment and the recruitment system ReachMee, HR applies checkpoints to ensure the process from start to finish. The role of the Appointment Committee is also to ensure the

					process and whether the recruitment has been open, transparent and merit-based.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++		All vacancies must be advertised through the Swedish Public Employment Service. Depending on the research area, vacancies are also advertised through Euraxess, which sometimes results in a broader and more international selection of candidates. By law, it is forbidden to register nationality so UB does not have figures regarding employees from abroad.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++		See above. Only for employments were knowledge in Swedish is not a requirement, applications from candidates from abroad are relevant. In some research areas, the competence can only be found from abroad. By law, Swedish is the administrative language and should be used in the central sector of the public sector.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++		UB has a governing document, Policy for Equal Opportunities. Equal opportunities include equal possibilities, rights, and obligations for all individuals regardless of gender, transgender identity, ethnicity, disability, sexual orientation, age or social, cultural, or religious background. In recruitment, it is stated in the announcement that UB values the qualities that an even gender and age distribution as well as ethnic and cultural diversity, add to UB. This provides a clear direction where UB opens up for everyone to feel welcome to apply to UB.

9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	+/-	For those positions where UB specifically target applicants from abroad, UB and being employed at a Swedish university is attractive mostly based on the employment conditions that exist in Sweden.
10. Do we have means to monitor whether the most suitable researchers apply?	x	x	x	+/-	Through the recruitment process, HR ensure that it is the most competent and suitable applicant who gets a position at UB. In order to get applicants with the right skills to apply, UB review future needs through competence provision plans and how to market UB as an employer.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		+/-	UB has guidelines for how positions are to be advertised.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		-/+	UB aims to develop and create clearer and more accessible information for the points below and present this already when advertising for a position. • researchers' career profiles • working conditions, workplace, rights and obligations (salary, other benefits, etc.), type of contract • opportunities for professional development • career development prospects • a reference to the department's OTM-R policy
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		+/-	Currently, jobs are advertised through Euraxess, in those cases UB assesses that the Swedish language is not a prerequisite for getting the job.
14. Do we make use of other job advertising tools?	x	x		+/-	If necessary, advertising channels such as ResearchGate, EURES, LinkedIn, Facebook and University Positions can be used. There are also discipline-specific recruitment channels as well as networks for different disciplines to disseminate information about advertisements.

15. Do we keep the administrative burden to a minimum for the candidate?	x			++	Candidates apply via a web-based recruitment system and all matters related to the application can be handled electronically (except non-electronic scientific publications such as books).
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees?		x	x	++	UB does not maintain statistics on the composition of panels. The delegation from the board to the Appointment Committee regulates the committee's composition of members.
17. Do we have clear rules concerning the composition of selection committees?		x	x	++	See point 16.
18. Are the committees sufficiently gender-balanced?		x	x	++	See point 16. The delegation from the board to the Appointment Committee regulates the committee's composition of members, such as the importance of an equal gender distribution.
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	++	There are processes and formal decisions that are required regarding specific profiles prior to recruitment. There are also written and published guidelines for external experts.
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	All applicants are informed by e-mail at the end of the process. Those who the Appointment Committee recommends for a position are documented in the Appointment Committee's protocol.
21. Do we provide adequate feedback to interviewees?		x		++	In case the applicant has been interviewed, feedback is provided by telephone or by e-mail.
22. Do we have an appropriate complaints mechanism in place?		x		++	An employment decision can be appealed within three weeks of it being posted, i.e. before it has gained legal force. Upon appeal, the case is forwarded from the university to The Higher Education Appeals Board, which decides the case. See also principle 12 in the GAP analysis.

Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				+/-	According to the Governing Board's Organisational and Decision-making Ordinance, the boards ensure and reviews the Appointments Procedure and if it delivers on its objectives.

TEMPLATE 4: ACTION PLAN

Case number: **2019SE474125**

Name Organisation under review: University of Borås, Sweden

Organisation's contact details: Kim Bolton, Pro-Vice-Chancellor (kim.bolton@hb.se)

SUBMISSION DATE: 15 DECEMBER 2020

1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS (figures for September 2020)	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	*266*
Of whom are international (i.e. foreign nationality)	*UB does not keep statistics on employees' nationalities*
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*50*
Of whom are women	*153*
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*189*
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	*4*
Of whom are stage R1 = in most organisations corresponding with doctoral level	*58 (doctoral students with employment)*
Total number of students (if relevant)	*17 196*
Total number of staff (including management, administrative, teaching and research staff)	*670*
RESEARCH FUNDING (figures for 2019)	€ *(rate: 1 SEK=0,095 €)*
Total annual organisational budget	*€ 17 451 215*
Annual organisational direct government funding (designated for research)	*€ 8 499 460*
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	*€ 4 943 800*
Annual funding from private, non-government sources, designated for research	*€ 2 177 970*
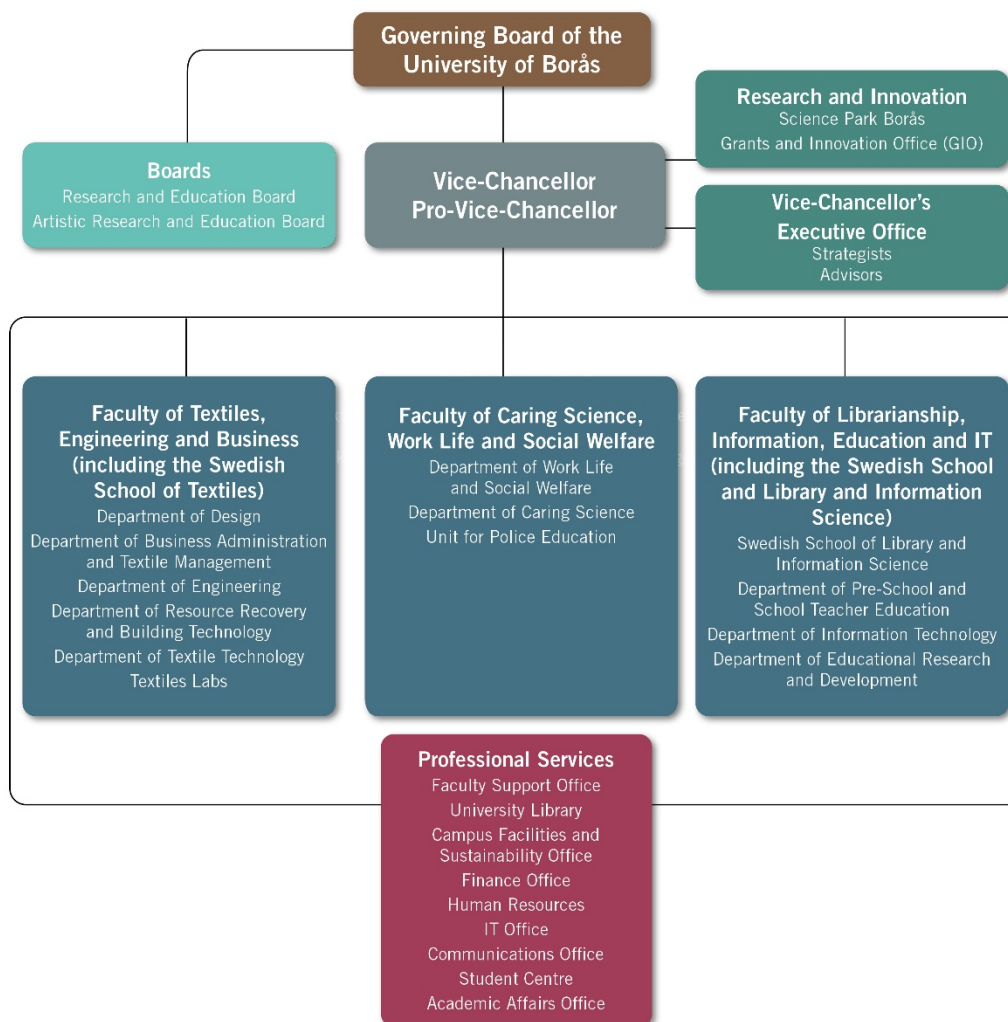
The University of Borås (UB) fosters learning, knowledge, and innovation of high quality in an international setting and with significant social relevance. UB has approximately 17,000 students and approximately 750 employees, and the entire campus is located in the city centre of Borås. UB has many exciting research and education environments within several different areas that have access to unique equipment. Many of the university's research projects and courses are closely tied to the objectives of Agenda 2030.

The national and internationally known Swedish School of Textiles and Swedish School of Library and Information Science are a part of the University of Borås, both of which have educational programmes and research. Science Park Borås is also a part of the university and is a national leader when it comes to sustainability and consumption.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	*free text maximum 500 words* The research at the University of Borås (UB) is based on the needs of its educational programmes as well as the surrounding society. UB has a well-established research organisation with research areas, research groups, research centres and steering documents and regulations in place. UB participates in the Swedish Higher Education Authority's review of quality assurance work within research, with the purpose of ensuring that the quality assurance work promotes high quality in research and contributes to the quality development of the university. As part of this participation, new and updated routines and steering documents have been developed at UB, for example, establish a more systematic approach to assure the quality of and develop the research at the university. In this process, Research Advisory Councils and Research Plans have begun to be developed and this work will be continued. The gaps identified in this area furthermore include development of the university's web information and competence development for researchers, mainly in ethics and research freedom. Furthermore, the Security Policy will be updated and the new Communications Policy as well as the new Policy for External Engagement need to be implemented in the organisation.
Recruitment and selection	*free text maximum 500 words* The UB steering documents Appointments Procedure, Rules for Recruitment and Promotion of Teaching Staff, Guidelines for Reviewers and Admission Regulations, and Appointments Procedure for Doctoral Students regulate the area of recruitment and selection. The procedures are thus well established and clear for all parties involved. However, there might be some inconsistency between the various documents used in the recruitment and selection process and this must be evaluated. In addition, information available to applicants needs to be developed regarding working conditions, career development prospects, and rights and obligations. Furthermore, the process for recruiting researchers may take too long and this needs to be evaluated.
Working conditions	*free text maximum 500 words* Many of the principles in the area of working conditions are regulated by Swedish law. In addition, working conditions are regulated in the UB Local Collective Agreement and the Local Working Hours Agreement. There are also several documents regarding work environment and quality assurance, equal opportunities, gender mainstreaming etc. In order to evaluate the employees' experiences, UB performs an employee survey every second year which includes questions regarding working conditions. UB furthermore distributes a student survey as well as a survey for doctoral students. Questions about working conditions are included in all of these surveys. In this way, discrepancies are

	detected and taken care of and included in the Action Plan for Systematic Work Environment. The gaps in the area of working conditions include an evaluation of the need for improved and extended career guidance. Goals for internationalisation and recognition of mobility can also be further developed. Another area to evaluate is the research time that is allocated to newly appointed lecturers and the teaching load for doctoral students.
Training and development	*free text maximum 500 words* It is of great importance that all members of staff are given the opportunity for training and development on a regular basis. Junior lecturers that are pursuing their doctoral studies are given at least 50% off full-time for these studies, and all doctoral students are given at least four years of full-time studies to complete their degrees. Senior lectures are given 20% competence development time and professors are given 50%. External funding can be used to increase this time, but all senior researchers are expected to contribute to UB's educational programmes. In addition, UB offers a number of opportunities and courses for researchers' professional development. Training and development are planned and evaluated during performance review dialogues and follow-up meetings for doctoral students. As mentioned above, Research Advisory Councils will be established at the Faculties and Research Plans will be developed for each research group. These will include the areas of scientific development and acquisition of qualifications. However, an evaluation of the need for improved and extended career guidance for researchers is required and must be done before such actions can be developed and implemented.

3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website. <u>Please provide the web link to the organisation's HR Strategy dedicated webpage(s):</u>

*URL: https://www.hb.se/hrs4r

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

Proposed ACTIONS	*GAP Principle(s)*	*Timing (at least by year's quarter/semester)*	*Responsible Unit*	*Indicator(s) / Target(s)*
Free text -100 words max	*Retrieved from the GAP Analysis*			
1. **Development of education in the area of freedom of research** Guidelines including research freedom have	1	As from Q3/2021	Vice-Chancellor, Research and Education Board (FoU-nämnden) and the Artistic Research and Education Board (KFU)	**Targets:** -Increased knowledge in the area of research freedom . **Indicators:**

been established, but these must be disseminated to develop knowledge and competence in the area.				-Amount of educational material offered. -Number of researchers that participate in the education.
2. **Development of education for experienced researchers/supervisors in the area of ethical principles** For doctoral students, ethical issues are included in courses and during introduction. However, experienced researchers also need access to professional development in this area.	2, 3	As from Q3/2021	Vice-Chancellor, Research and Education Board (FoU-nämnden) and the Artistic Research and Education Board (KFU)	**Targets:** -Increased knowledge in the area of ethical principles. **Indicators:** -Amount of educational material offered. -Number of researchers that participate in the education.
3. **Development of information on the website regarding research ethics** There is a lack of information on the website regarding research ethics and this needs to be improved.	2	As from Q1/2022	Professional Services (Academic Affairs Office and Communications Office)	**Targets:** -Increased knowledge in the area of ethical principles. **Indicators:** -Availability of information on the website. -Number of people that access the information.
4. **Development of a function that advises researchers when applying for ethical reviews** There is a lack of support to researchers regarding ethical reviews and this needs to be improved.	2	As from Q3/2021	Vice-Chancellor or Research and Education Board (FoU-nämnden) and the Artistic Research and Education Board (KFU)	**Targets/Indicators:** -There is a function that advises researchers when applying for ethical reviews.
5. **Development of Research Plans for all Research Groups** As part of the quality assurance work on research, it has been decided that all research groups are to produce a Research Plan. These plans are to specify strategies, projects and activities,	4, 8, 9, 11, 23, 28, 30, 37, 38, 39	As from Q1/2021	Deans of Faculties	**Targets:** -Research Plans for all research groups have been developed. **Indicators:** -Research Plans for all research groups have been developed. These plans specify strategies, projects

plans for dissemination and external engagement, career development and scientific development and improvement of research facilities.				and activities, plans for dissemination and external engagement, career development and scientific development and improvement of research facilities.
6. **Development and implementation of Research Advisory Councils** The Research Plans mentioned above will be followed up on and form the basis for discussions in the Research Advisory Councils that will be established at UB.	4, 8, 9, 11, 23, 28, 30, 35, 37, 38, 39	As from Q1/2021	Deans of Faculties	**Targets/Indicators:** -Research Advisory Councils have been implemented. -The Research Plans are evaluated and further developed.
7. **Update of the Information on Security Rules and instructions for users** The rules and instructions will be revised according to updated regulations, current data protection requirements, and ISO27001.	7	Q4/2022	Professional Services (IT Office)	**Targets/Indicators:** -Information on Security Rules and instructions are updated.
8. **Implementation of the new Communications Policy** The new policy needs to be complemented by goals and plans and these must be disseminated throughout the organisation.	8	As from Q4/2021	Professional Services (Communications Office)	**Targets:** -The Communications Policy is implemented. **Indicators:** -The Communications Policy has been used to develop goals and plans for communications. -Number of workplace meetings visited. -Number of training sessions offered.
9. **Development and implementation of an Action Plan for the**	8	Q4/2022	Professional Services (Communications Office)	**Targets:** -An action plan for the systematic translation of

systematic translation of relevant documents to English The Guidelines for Translation to English are not fully followed and this needs to be improved.				relevant documents to English has been developed (Q3/2021). -All relevant documents are translated to English (Q4/2022). **Indicators:** -An action plan for the systematic translation of relevant documents to English has been developed. -Number of documents that are relevant for non-Swedish researchers that have been translated into English.
10. **Development and implementation of goals for external engagement and collaboration with society** The new policy needs to be complemented by goals and plans for implementation.	8, 9	As from Q1/2022	Research and Innovation	**Targets:** -Goals for external engagement and collaboration with society have been developed and implemented. **Indicators:** -Document describing goals for external engagement and collaboration with society has been developed and implemented in the organisation.
11. **Implementation of the external evaluations of research environments in a six-year cycle** It has recently been established that all UB research environments will be evaluated by external advisory groups in order to ensure and improve the quality of research.	11	As from Q3/2020 (first evaluation is from Q3/2020 until Q2/2023)	Deans of Faculties	**Targets:** -External evaluations of research environments in a six-year cycle have been implemented. **Indicators:** -Self-evaluations have been written. -External audits have been conducted. -External groups have submitted the review.

				-Action plans for developing the research environments have been implemented.
12. **Develop information regarding working conditions for applicants** Information for applicants needs to be developed regarding working conditions.	13	Q4/2021	Professional Services (Human Resources)	**Targets:** - Adequate information about employment conditions and terms on UB's website both in Swedish and in English. -Links in advertisements to the information about employment conditions and conditions on the website. **Indicators:** -Annual follow up on the information available through the website and if a link has been made in advertisements.
13. **Develop information regarding career development prospects for applicants** Information for applicants needs to be developed regarding career development prospects.	13, 15	Q4/2021	Professional Services (Human Resources)	**Targets:** -Adequate information about career development on UB's website both in Swedish and in English. **Indicators:** -Links in advertisements to the information about career development on the website and if a link has been made in advertisements.
14. **Develop information regarding rights and obligations for applicants** Information for applicants needs to be developed regarding rights and obligations.	13	Q4/2021	Professional Services (Human Resources)	**Targets:** -Adequate information regarding rights and obligations for applicants on UB's website both in Swedish and in English. **Indicators:**

				-Link in advertisements to the information regarding rights and obligations for applicants on the website and if a link has been made in advertisements.
15. **Evaluate the length of recruitment processes for researchers** The time required for the recruitment of researchers needs to be evaluated. At present, the process is estimated to take anywhere from two months to six months. The variation depends on the subject area.	13	Q4/2022	Professional Services (Human Resources)	**Targets:** -Develop the process for recruiting researchers so that the various steps take less time and so that the whole process becomes more efficient. **Indicators:** -Follow up on the recruitments that have been made and review the average length of time for these. The average time can then be followed up on.
16. **Evaluate the consistency between the various documents used in the recruitment process** The steering documents used in the recruitment process need to be aligned with each other.	14, 16	Q1/2022	Professional Services (Human Resources)	**Targets:** -Achieve a uniform recruitment process where all steering documents, instructions, and templates are aligned with each other. **Indicators:** -Follow up on completed audits regarding the recruitment of senior lecturers. -Conduct a new audit and compare these.
17. **Strategic goals for internationalisation to be developed** The UB Policy for Internationalisation needs to be complemented by	18, 29	Q3/2021	Professional Services (Faculty Support Office)	**Targets/Indicators:** -A document describing goals for internationalisation has been developed.

goals and plans for implementation.				
18. **Investigation of the need to develop incentives for and recognition of mobility in employment and promotion** The performance review meetings and salary-setting dialogues could benefit from having a larger focus on the recognition and evaluation of mobility	18, 29	Q3/2022	Professional Services (Human Resources)	**Targets:** -Examination of the possibility to develop, include, and evaluate the importance of mobility within the framework of employment. -If necessary, review salary criteria and include mobility in these. **Indicators:** -Investigation of the need to have a larger focus on the concept of mobility in performance review meetings and salary-setting dialogues has been made.
19. **Evaluate whether career guidance needs to be improved for doctoral students and whether it should be extended for other research categories (especially R2)** There is a need to evaluate whether extended career guidance is required.	28, 30	Q3/2022	Professional Services (Academic Affairs Office)	**Targets:** -The need for improved career guidance for doctoral students has been evaluated. -The need for career guidance for other research categories (especially R2) has been evaluated. **Indicators:** -A report analysing the need for improved career guidance for doctoral students has been completed. -A report analysing the need for career guidance for other research categories (especially R2) has been completed.

20. **Investigation of the need for leaders to explicitly include career guidance during performance review meetings** A larger focus on career guidance during performance reviews and salary-setting dialogues could be needed and the practice must be investigated.	28	Q3/2022	Professional Services (Human Resources)	**Targets:** -Investigation of the possibility to develop, include, and evaluate career opportunities within the framework of employment. -Development of a plan for extended career support for young researchers and doctoral students. **Indicators:** -Follow up on the utilisation rate of career support.
21. **Evaluation of the need for incentives and recognition of mobility to be included in the appraisal system** A larger focus on mobility in appraisal system is requested and needs evaluation.	29	Q3 2022	Professional Services (Human Resources)	**Targets:** -Investigation of the possibility to develop, include, and evaluate the importance of mobility within the framework of employment. -If necessary, review salary criteria and include the concept of mobility in these. **Indicators:** -Investigation of the need to include the concept of mobility in the performance review meetings and salary-setting dialogues.
22. **Investigation of the possibility of giving newly appointed researchers sufficient research time to support their career development** New researchers experience that their research time is too little to perform research of sufficient quality and quantity.	33	Q2/2023	Deans of Faculties	**Targets:** -The possibility of giving newly appointed lecturers sufficient research time has been investigated. **Indicators:** -A report analysing the possibility of giving newly appointed lecturers sufficient research

				time has been completed.
23. **Improvement of the follow up process regarding doctoral students' ISPs to ensure that they spend the appropriate amount of time on teaching** Doctoral students sometimes experience that they spend more than an appropriate amount of time on teaching and the follow up regarding this process must be improved.	33	Q2/2022	Deans of Faculties	**Targets:** -Doctoral students do not spend more than the appropriate amount of time on teaching. **Indicators:** -Doctoral students' ISPs show that they do not spend more than 20% of their time on teaching.

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

(free text, 1000 words maximum)

A brief summary of relevant Swedish legislation will precede a description of the actions made to address the implementation of Open, Transparent, Merit-Based Recruitment principles as Swedish labour legislation generally applies to all sectors in the Swedish labour market. The legislation assures employees fundamental rights, such as employment security, holiday time, and regulated working hours. In addition, there are laws that apply only to the government sector; for example, regarding the Appointments Procedure and disciplinary sanctions.

The recruitment procedure
The government employment process differs from other sectors. According to the Swedish Constitution, the decisions around government contracts are to attend to objective factors only, such as merit and competence, of which competence should be of prime consideration.

Appeal
An applicant who has been rejected an appointment has the right to appeal this decision. The appeal is heard by a special board. If the appeal is approved, the appellant should be offered the appointment, instead of the person that first received the appointment.

Transparency
Within the government sector, the employment procedure is specifically regulated; for instance, in regards to how to make information available about vacancies and how employment decisions should be notified. Application documents are public documents and therefore other candidates, as well as the public, have the right to access such documents.

The principle of public access to official documents

The principle of public access to official documents is a basic principle of the Swedish constitution. It means that the public and the media have the right to inspect state and municipal activities. The principle is expressed in various ways:

- everyone is entitled to read the documents of public authorities, i.e. access to official documents;
- officials and others who work for the state or municipalities are entitled to say what they know to outsiders, i.e. freedom of expression for officials and others
- officials and others in the service of the state or municipalities are normally entitled to disclose information to newspapers, radio. and television for publication or to personally publish information, i.e. right to communicate and publish information

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

UB does not have an overarching HR policy or OTM-R policy. The Appointments Procedure and the Rules for Recruitment and Promotion of Teaching Staff highlights many of the points in HRS4R and OTM-R.
Action: Keep these steering documents up to date and easily accessible on the website (OTM-R 1, 2).

There are no training programmes at UB for OTM-R per se. However, there is an introduction course for those who are new to leadership positions. Members of the Appointment Committee are expected to be well acquainted with all governing documents relevant to recruitment. All HR specialists who assist managers in recruitment have completed the training "Recruiting of government employees" through the Swedish Agency for Government Employers. The HR department is involved, to greater or lesser degrees, in all steps regarding recruitment.
Action: Continue to hold trainings frequently with managers and maintain competence in HR and HR's role in the recruitment process (OTM-R 3, 5).

The recruitment system ReachMee is used for most steps in the recruitment process. It is most commonly used for advertisements, applications forms, selection, and communication with candidates. The system can also be used for interview guides and references.
Action: Investigate the need for and the possibility of expanding the system's functions (OTM-R 4, 15).

The employment conditions that exist in Sweden make it attractive for researchers to apply for positions in Sweden. In recruitment, it is stated in the announcement that UB values the qualities that an even gender and age distribution as well as ethnic and cultural diversity add to UB. This makes it clear that UB promotes an open atmosphere and one in which everyone can feel welcome to apply to UB. All vacancies must be advertised through the Swedish Public Employment Service. Depending on the research area, vacancies are also advertised through Euraxess, which sometimes results in a broader and more international selection of candidates.
Action: Review routines and advertising channels for how to advertise the positions that do not require knowledge of the Swedish language (OTM-R 6, 7, 8, 9).

Through the recruitment process, HR ensures that it is the most competent and suitable applicants who are offered a position at UB. In order to get applicants with the right skills to apply, UB reviews future needs through competence provision plans and markets UB as an attractive employer.
Action: Review the need to strengthen work with competence provision plans and employer branding (OTM-R 10).

> **Action:** UB aims to develop and create clearer and more accessible information for the points below and make this information available in connection to advertising positions (OTM-R 12).
> - researchers' career profiles
> - working conditions, workplace, rights and obligations (salary, other benefits, etc.), type of contract
> - opportunities for professional development
> - career development prospects
> - a reference to the department's OTM-R policy
>
> UB has guidelines for how positions are to be advertised.
> **Action:** Review and evaluate how to advertise positions on a regular basis (OTM-R 11, 13, 14).
>
> The delegation from the board to the Appointment Committee regulates the committee's composition of members, and includes emphasis on e.g. the importance of an equal gender distribution (OTM-R 16, 17, 18).
>
> Clarify guidelines for selection committees that help assess "merits" in a way that leads to the selection of the best candidate.
> **Action:** See action 16 above. Evaluate the consistency between the various documents used in the recruitment process (OTM-R 19).
>
> Maintain and continue providing good feedback to applicants during various stages of the recruitment process (OTM-R 20, 21, 22).
>
> According to the Governing Board's Organisational and Decision-making Ordinance, the boards quality assure and review the Appointments Procedure and the degree to which is delivers on its objectives (OTM-R 23).

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

> URL: https://www.hb.se/en/About-UB/Work-at-UB/Factssupport-for-candidates1/ (Appointments Procedure)

4. IMPLEMENTATION

General overview of the expected implementation process:

> *(free text, 1000 words maximum)*
>
> When the initial phase of the HRS4R process is finalised, the implementation phase will take place. In the implementation phase, the Project Group (Working Group) will be replaced by an Implementation Group, which is responsible for driving the process forward and overseeing the implementation of the actions established in the Action Plan. The Steering Group (Control Group) will still be the Vice-Chancellor's Advisory and Quality Council, in order to assure quality and to be informed and consulted in the process. The Vice-

Chancellor's Advisory and Quality Council is also the steering group for developing the university's quality assurance systems for education and research, which will ensure synergy between these areas. The Implementation Group will also ensure that activities in the action plan are included in the university's quality system, including yearly action plans, action reports, and discussions in the Vice-Chancellor Activity Dialogues (which take place four times a year between the university leadership and each of the Faculties or the unit for Professional Services). The Implementation Group will meet four times a year and be responsible for the Internal Review, to be conducted 24 months after implementation began, and report to the Steering Group on the progress of action implementation. The Implementation Group will also be responsible for developing a Revised Action Plan based on the Interim Assessment and the recommendations made on how to continue the implementation.

The Implementation Group consists of the Pro-Vice-Chancellor and members from the Vice-Chancellor's Executive Office and Professional Services. This composition will ensure that implementation of the activities in the Action Plan will be integrated in the university's systems for quality assurance of education and research. Dialogue with the Deans of Faculties and the Head of Professional Services will take place via the channels discussed in the previous paragraph.

All actions mentioned above have a responsible unit and a time frame. The units are responsible for developing and performing their activities, as stated in the Action Plan, and reporting back to the Implementation Group. As discussed above, these activities will be included and/or further developed in the actions plans and action reports of the different units, in order to guarantee an effective implementation and integration with other UB processes.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	*free text 500 words maximum* The Implementation Group will ensure that activities in the Action Plan are included in the university's quality system, including yearly action plans, action reports and discussions in the Vice-Chancellor Activity Dialogues. The Implementation Group will coordinate action implementation and will be responsible for the Internal Review after 24 months. A progress report on action implementation will be compiled and form the basis of the revised Action Plan. The Implementation Group will report to the Steering Group, which oversees the progress.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	*free text 500 words maximum* As mentioned above, the Implementation Group will ensure that activities in the action plan are included in the university's quality system, including yearly action

	plans, action reports and discussions in the Vice-Chancellor Activity Dialogues. This means that all members of staff, including researchers, will be involved. The introduction of Research Plans for each research groups, with the subsequent discussions in Research Advisory Councils, will also ensure that researchers will be involved in discussions and strategic developments at the Faculty level. This will give representatives (researchers R1-R4) an opportunity to influence the decision-making process.
How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.	*free text 500 words maximum* The HRS4R (Charter and Code) principles are to a large extent implemented at UB. However, the university will continue to develop the procedures and improve the systematic quality work both according to HRS4R and the national system for the quality assurance of research, which have many synergies. By ensuring that activities in the action plan are included in the university's quality assurance system (discussed above), the university also ensures that these activities are included, followed up on, and developed as an integral part of the university's advancement.
How will you ensure that the proposed actions are implemented?	*free text 500 words maximum* As mentioned above, the proposed actions will be incorporated into the regular processes at UB of planning, monitoring, and further development. The responsible units will report back to the Implementation Group when activities have been initiated and implemented. Further initiatives for development will be identified in activity reports, coordinated by the Implementation Group, and included in future HRS4R action plans.
How will you monitor progress (timeline)?	*free text 500 words maximum* The Implementation Group will report to the Steering Group (Control Group) which is the Vice-Chancellor's Advisory and Quality Council. The Council includes the Vice-Chancellor, the Deans of Faculties, and the Head of Professional Services. The units that are responsible for the activities in the Action Plan are therefore included in the council, which enables monitoring of the progress. The Implementation Group will also ensure that activities in the Action Plan are included in the

	university's quality assurance system, including yearly action plans, action reports, and discussions in the Vice-Chancellor Activity Dialogues (which take place four times a year between the university leadership and each faculty or professional services).
How will you measure progress (indicators) in view of the next assessment?	*free text 500 words maximum* The Implementation Group will report the progress of the implementation to the Steering Group. The indicators will be assessed during the reports and when following up on the annual action reports from each Faculty and from Professional Services. These will be the foundation for reporting progress in relation to HRS4R and in identifying future actions.

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)