

TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: 2019SE444623

Name Organisation under review: Umeå University

Organisation's contact details: Umeå University, SE-901 87 Umeå

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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.

Definitions researcher

Below we briefly explain how we link the [Euraxess research profiles descriptors](#) to the main research positions at Umeå University.

First Stage Researchers (R1). Primarily holders of the formal position doctoral student, but also other active doctoral students such as lecturers pursuing their PhD or research assistants.

Recognised Researchers (R2). At Umeå University, this stage typically includes researchers in the first years after their PhD holding a position as postdoctoral fellow, assistant professor or research fellow and associate professors in an early phase.

Established Researcher (R3) At Umeå University, typically associate professors or research fellows who hold the title docent or equivalent.

Leading Researcher (R4). Typically holders of the position as Professor.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview

<p>Status: to what extent does this organisation meet the following principles?</p>	<p>Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented</p>	<p>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.</p>	<p>Initiatives undertaken and/or suggestions for improvement:</p>
<h3>Ethical and Professional Aspects</h3>			
<p>1. Research freedom</p>	<p>++</p>	<p>Free text 300 words maximum National regulations and resources The Swedish Higher Education Act (1992:1434), 1 Ch. Section 6 “The following general principles shall apply to research: 1. research issues may be freely selected, 2. research methodologies may be freely developed, and 3. research results may be freely published.” Other regulations also impact research related publication: The Freedom of the Press Act (1949:105), art. 1: “The freedom of the press is understood to mean the right of every Swedish citizen to publish written matter, without prior hindrance by a public authority or other public body, and not to be prosecuted thereafter on grounds of its content other than before a lawful court, or punished therefore other than because the content contravenes an express provision of law, enacted to preserve public order without suppressing information to the public.” The Fundamental Law on Freedom of Expression (1991:1469). Its aim “is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation”.</p>	<p>Free text 200 words maximum Ongoing initiative Starting in 2018 and continuing into 2020, Umeå University has worked to adapt the common basic values for central government employees to better suit the academic context and to disseminate these values. This will allow the values to better support Umeå University employees in their everyday activities and ethical dilemmas. For research freedom, this initiative serves to strengthen the principle of research freedom rather than remedying a gap.</p>

		<p>However, provisions in The Public Access to Information and Secrecy Act (2009: 400) on confidentiality limit the right to access official documents as well as the public official's right to freedom of expression.</p> <p>The Common basic values for central governmental employees – a summary (S2014.021) summarises fundamental principles.</p> <p>Organisational regulation and organisational procedures Umeå University is committed to research freedom and information about this principle is part of introductory programmes to new employees, in doctoral programmes and research leadership programmes. The vision (from 2019) emphasises academic core values and the national common basic values for central government employees (the latter including legality and free formation of opinion). It also states “security, trust and confidence create the conditions for motivation and courage, and the risk-taking that is necessary for knowledge breakthroughs”.</p>	
2. Ethical principles	+/-	<p>National regulations and resources Act on Responsibility for Good Practice in Research and the Examination on of Research Misconduct (2019:504) The Act (2003:460) Concerning the Ethical Review of Research Involving Humans Statue on the Ethical Review of Research Involving Humans (2003:615) The Medicines Act (2015:315) Additional provisions on ethical review on clinical trials on medicinal products for human use (Act 2018:1091) Patient Data Act (2008:355) Animal Welfare Act (2018:1192) Data Protection Act (2018:218)</p> <p>The Swedish Ethical Review Authority conducts the mandatory ethical vetting for research on humans, biological material and sensitive personal data. A regional office is located in Umeå.</p>	<p>Ongoing and proposed initiatives The new Umeå University vision (2019) emphasises an ethical approach to research. As mentioned above, Umeå University adheres to the national common basic values for central government employees, and has starting in in 2018 and continuing into 2020 worked to adapt these values to better suit the academic context. This will allow the values to better support employees in their everyday activities and ethical dilemmas.</p>

		<p>The Swedish Research Council hosts the Codex website giving “... access to and information on the guidelines, ethics codes and laws that regulate and place ethical demands on the research process”.</p> <p>Organisational regulations and organisational procedures The national degree goals of doctoral programmes state: “the student shall “demonstrate intellectual autonomy and disciplinary rectitude as well as the ability to make assessments of research ethics”. Goal-fulfilment is reviewed in national evaluations of doctoral programmes and in the Umeå University quality system for education.</p> <p>Individual study plans within doctoral education requires a statement on the need for ethical review.</p> <p>Research ethics is included in research leadership programmes and in the course Postgraduate supervision in practice.</p> <p>There are several doctoral courses on research ethics.</p> <p>Umeå University has procedures for handling suspicions of academic misconduct. It is mandatory to report such suspicions. Umeå University also has a policy against bribery.</p> <p>Gap The research support system for researchers needs to be developed to improve coordination and provide a ‘one-stop-shop’ for pre-award and post-award support, and ensuring availability of advice on a wide spectrum of ethical issues responding to the needs of different disciplines and to different stages in the research process.</p>	<p>Umeå University has conducted a review of its research support. The research support will be strengthened through the development of Grants Office to a research support office. The office will provide pre-award and post-award support throughout the research process, as well as develop and provide competence on a variety of research ethical issues in collaboration with other university units (such as the four faculties of Umeå University, the university library and the Vice-Chancellor’s office). (See also principles 4, 5, 7 and 23).</p>
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<p>3. Professional responsibility</p>	<p>++</p>	<p>National regulations and resources</p> <p>Act on Responsibility for Good Practice in Research and the Examination of Research Misconduct (2019:504).</p> <p>The Swedish Higher Education Act (1992:1434), Section 3a: “In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. The Act on responsibility for good research practice and the examination of research misconduct (2019:504) contains provisions on the responsibility held by researchers and the entity responsible for research for research being conducted in accordance with good research practice and on an independent board that must examine allegations of research misconduct. Ordinance (2019:505)”.</p> <p>The Swedish Scientific Council (VR): Good Research Practice (recommendations).</p> <p>The Administrative Procedure Act (2017: 900). Specifies how administrative authorities (such as universities) shall handle issues.</p> <p>Common basic values for central governmental employees – a summary (S2014.021).</p> <p>Organisational regulations and organisational procedures</p> <p>The doctoral education, information programmes to new employees, and research leadership programmes informs about professional responsibility. For instance, a general degree goal for doctoral education is to “demonstrate specialised insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used”. This goal is also assessed in the national evaluation of doctoral programmes (see principle 11).</p>	<p>Ongoing initiative</p> <p>The above (principle 2) mentioned adaption of the national common basic values for central government employees to adapt these values to better suit the academic context and development of the research support strengthens principle 3 (rather than remedying a gap).</p>
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4. Professional attitude	+/-	<p>National regulations and resources The Swedish legislation embraces professional expectations in several laws and regulations, which set the frames for each researcher's personal accountability. Examples include (see also principles 1,2,3,5,6 and 7): The Act (2003:460) Concerning the Ethical Review of Research Involving Humans. Data Protection Act (2018:218) & Supplementary Regulations to the General Data Protection Regulation (2018:219).</p> <p>Organisational regulations In its vision document, Umeå University emphasises researchers' responsibility; "Through science-based knowledge, commitment and an ethical approach, we contribute to a society that is well equipped to meet current and future challenges."</p> <p>The Management and leadership policy expresses expectations on the behaviour and attitudes of managers.</p>	<p>Ongoing and proposed initiatives As mentioned above, Umeå University adheres to the national common basic values for central government employees, but has starting in 2018 and continuing into 2020 worked to adapt these values to better suit the academic context and further disseminate these. One of the values is objectivity.</p> <p>The Umeå University board decided on the new vision in 2019, following a process where all employees were invited to contribute. The vision will be a point of departure for all units when planning their operations for the period 2020-2022.</p> <p>The research support will be strengthened through the</p>

		<p>Organisational resources</p> <p>The Umeå University vision and the operational plan are available on the web page of Umeå University. Strategies, goals and operational plans at the four faculties relate to the vision. Departments and offices also have operational plans. Researchers receive information about strategies influencing their work at regular staff meetings, and at a variety of information meetings held at different levels.</p> <p>The doctoral education and regulations for doctoral education, introduction programmes to new employees, and research leadership programmes inform about professional responsibility.</p> <p>Researchers have access to project support via financial officers. The faculties and the Grants Office provide advice on research applications. Information on funding opportunities is regularly communicated in newsletters and through visits from funding bodies.</p> <p>Ethical vetting procedures and registration for purchases of chemicals for laboratories are examples of approval procedures.</p> <p>Gaps</p> <p>A need to develop and better coordinate the support to researchers in different stages of the research process has been identified.</p> <p>Based on conversations with researchers and the 2018 employee satisfaction survey, a gap has also been identified related to a lack of access to relevant and current information, and a lack of knowledge about strategies, et cetera.</p>	<p>development of Grants Office to a research support office. The office will provide pre-award and post-award support throughout the research process, as well as develop and provide competence on a variety of research issues in collaboration with other units such as the faculties. (See also principles 2, 5, 7 and 23).</p> <p>Several activities are ongoing to improve the access to information. However, a review is suggested to ensure availability of documents and currency of information relevant to researcher, both in English and in Swedish. (Including making it clear when there is no information in English but there is information in Swedish).</p>
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<p>5. Contractual and legal obligations</p>	<p>+/-</p>	<p>National regulations Act (1949: 345) on the Right to Employee Inventions Act (1960: 729) on Copyright in Literary and Artistic Works The Patent Act (1967:837) Design Protection Act (1970: 485) The Trademark Act (2010:1877) The Business Names Act (2018: 1653) Act (1992: 1685) on the Protection of Topographies of Semiconductor Products Act on the Protection of Plant Breeders' Rights (1997:306) The Names Act (2016: 1013) The Swedish Higher Education Act (1992: 1434) Common basic values for central governmental employees – a summary (S2014.021)</p> <p>Organisational regulation Secondary employment is important for employees' dissemination of research results and their engagement with society, but it must not influence the university employees' professional roles. Teaching (research) staff must therefore report their secondary employment status at least once a year.</p> <p>Organisational resources The doctoral education, introduction programme to new employees and research leadership programmes informs about contractual and legal obligations (see however under gaps below).</p> <p>There is an internal checklist available for departments when introducing new employees.</p> <p>The university lawyers provide assistance regarding legal issues relating to teaching and research.</p> <p>The Umeå University Data Protection Officer provides support for processing personal data. There is a database for the mandatory</p>	<p>Ongoing and proposed initiatives Umeå University adheres to the national common basic values for central government employees, and has starting in 2018 worked to adapt these values to better suit the academic context and to disseminate these values. Legality is one of the values.</p> <p>A revision of introduction activities and information such as checklists to ensure that introduction activities have a substantial content covering research activities and the researcher role is planned.</p> <p>The research support will be strengthened through the development of Grants Office to a research support office. It will provide pre-award and post-award support on research issues related to contracts and legal obligations in collaboration with units such as the Vice-Chancellor's Office, Innovation Office North and the University Library. (See also principles 2, 4, 7 and 23).</p> <p>The Umeå University Language Policy from 2019 emphasises Swedish as the administrative language, but states that important policy documents should be translated into English.</p>
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6. Accountability	++	<p>National regulation The Higher Education Act 1992:1434, Section 4; “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).” Common basic values for central governmental employees – a summary (S2014.021) Archives Act (1990:782) Archives Ordinance (1991:446) Public Access to Information and Secrecy Act (2009:400)</p>	<p>Recent initiatives Umeå University adheres to the national common basic values for central government employees, and has worked to adapt these values to better suit the academic context and to implement them further. The values will support employees in their everyday activities, including ethical dilemmas. In the context of principle 6, this as well as development of the research support function constitutes a continuous improvement activity.</p>

		<p>Organisational regulation and procedures</p> <p>The doctoral education, introduction programmes to new employees and research leadership programmes inform about accountability. It is also a component in the national evaluation of doctoral education. For example, a degree goal for doctoral education is to “demonstrate specialised insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used”.</p> <p>Examples of policies and guidelines relating to accountability are:</p> <ul style="list-style-type: none"> • Scientific dishonesty, including the requirement to report suspicions and the procedures when handling such reports. • Document management plan for research. • Purchasing and procurement policy. <p>Department heads have the responsibility to follow up on externally funded projects.</p> <p>The Internal Audit Office conducts audits to ensure efficient operations, adherence to regulations, prudent use of resources and reliable reporting.</p> <p>Organisational resources</p> <p>A number of Umeå University’s organisational regulations and plans are available on the external web.</p> <p>Resources in the intranet outline the accountability of researchers, for example relating to processing of personal data and archiving.</p> <p>Managers are expected to attend leadership training, which includes aspects of accountability.</p> <p>Research leadership programmes also include accountability aspects.</p>	
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7. Good practice in research	+/-	<p>National regulations and resources</p> <p>Act on Responsibility for Good Practice in Research and the Examination of Research Misconduct (2019:504)</p> <p>Work Environment Act (1977:1160)</p> <p>Archives Act (1990:782)</p> <p>Public Access to Information and Secrecy Act (2009:400)</p> <p>Data Protection Act (2018:218)</p> <p>The Swedish Research Council hosts the Codex website giving “...information on the guidelines, ethics codes and laws that regulate and place ethical demands on the research process” and publishes recommendations on good research practice.</p> <p>Organisational regulations and resources</p> <p>Doctoral programmes, doctoral schools, and information programme to new employees and research leadership programmes inform about good practice in research. It is also a component in the national evaluation of doctoral education.</p> <p>The Registry and archive provide support for recording of public documents, document management and archiving.</p> <p>The University Library via the Umeå University Data Access Unit develops solutions for long-term data storage and data sharing. The ICT Services and System Development develops IT solutions for example for data storage.</p> <p>The Umeå University Legal Division provides support and information regarding handling of, for example, personal data.</p> <p>Selected documents and tools:</p>	<p>Recent and proposed initiatives</p> <p>Following the introduction of the GDPR Umeå University provides seminars, brochures and film clips to researchers and templates for information to participants in research projects.</p> <p>Umeå University is a member of the Swedish National Data Services consortium and has established a local Data Access Unit. The unit develops solutions for long-term data storage and data sharing according to the recommendations of the Swedish Research Council for Open Science and the FAIR data principles and develops competence, courses and tools to support researchers on research data management.</p> <p>Examples of completed or ongoing projects are launching a research data web, development of a template for data management plans and implementing a system for data management plans, and developing a research data policy. Upcoming development could include information to and dialogues with departments, and</p>

		<ul style="list-style-type: none"> • Archive book for research material. • Guide to documentation of research material. • Retention and deletion plan for research material. • Policies, routines and plans for IT-security and information safety. • Services for safe storage and use of research data, for example a data collection platform (DIP). • System for data management plans. • Open access policy. <p>Gap The implementation of the GDPR and open science efforts pose new questions and challenges relating to good practice in research, requiring further development of data management solutions (not least for small-scale research projects). Research support should be developed and coordinated to include advice on a wide spectrum of issues responding to the needs of different disciplines and to different stages in the research process, including advice on good practice in research.</p>	<p>developing integrated central systems for archiving and data storage.</p> <p>The Grants Office will be developed to a research support office and provide pre-award and post-award support throughout the research process, as well as develop and provide competence on a variety of issues relating to good practice in research, in collaboration with for example the Vice-Chancellor's Office and the faculties. (See principles 2,4,5, and 23)</p>
8. Dissemination, exploitation of results	++	<p>National regulations and resources</p> <p>The Swedish Higher Education Act (1992:1434) Ch. 1, Section 2: "The mandate of higher education institutions shall include third stream activities and the provision of information about their activities, as well as ensuring that benefit is derived from their research findings."</p> <p>Ch. 3, Section 7 regulates secondary employment (see also below).</p> <p>Act (1949: 345) on the Right to Employee Inventions states that teachers at Swedish universities own the rights to their patentable research results (also known as the "Teachers exemption").</p>	<p>Recent initiatives</p> <p>The roles of actors within the innovation support system have recently been clarified.</p>

		<p>Organisational regulation</p> <p>Secondary employment is important for employees' dissemination of research results and their engagement with society, but it must not influence the university employees' professional roles. Teaching (research) staff must therefore report their secondary employment status at least once a year.</p> <p>The Salary policy supports dissemination; see also below (principle 9). Assessment criteria for appointments contain “contributions to the surrounding society”.</p> <p>The Open access policy recommends researchers to publish using open access whenever possible, and, when this is not possible, use parallel publishing via Diva, a digital portal for research publications.</p> <p>Organisational resources</p> <p>The innovation support system provides a variety of support activities for research based innovation and development of business ideas. It offers general information and support for early phase validation of ideas, as well as access to incubators with different specialisation areas ranging from biotechnology to cultural, artistic and creative industries. The development of the system and the inflow of ideas are presented in the annual report.</p> <p>See also principle 9.</p>	
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<p>9. Public engagement</p>	<p>++</p>	<p>National regulation The Swedish Higher Education Act (1992:1434) Ch. 1, Section 2: “The mandate of higher education institutions shall include third stream activities and the provision of information about their activities, as well as ensuring that benefit is derived from their research findings.”</p> <p>Organisational regulations The Salary policy supports dissemination through salary criteria such as bringing research conclusions to “public debate” and development of “valuable contacts for the university, within the organisation and in the wider community”.</p> <p>The Open access policy recommends researchers to publish using open access whenever possible, and, when this is not possible, use parallel publishing via Diva, a digital portal for research publications.</p> <p>Organisational resources Umeå University has an infrastructure for public engagement, supporting a number of recurring meeting places and strategic partnerships as well as facilitating a wide variety of other collaboration activities. For example, Umeå University (centrally, faculties or departments) supports dissemination of research via lunch seminars at the university as well as outside (scientific lunches at Café Station), via conferences, workshops (AIMday) and via the web. The Research Support and Collaborations Office provides support for researcher and for companies seeking potential collaborations. When a doctoral student defends his/her doctoral thesis, the student, with the support of the university communications staff, writes a press release informing the public of the research and its implications.</p> <p>There are doctoral courses focusing on dissemination of research and public engagement, for example a doctoral course on communicating scientific research and courses focusing on</p>	<p>Recent initiatives Recent initiatives relating to public engagement include the integration of two existing environments into a new science centre, Curiosum.</p> <p>Starting in 2018, Umeå University is one of the participating partners in the establishment of a national knowledge platform for social innovation (MSI) aiming to support social innovation and social entrepreneurship.</p>
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10. Non discrimination	++	<p>National regulations and resources Discrimination Act (2008:567), The Work Environment Act (1977:1160) The Work Environment Ordinance (1977:1166) Organisational and social work environment (AFS 2015: 4)</p> <p>The Equality Ombudsman (DO) is a government agency tasked to “to promote equal rights and opportunities and to combat discrimination”.</p> <p>The Swedish Gender Equality Agency has been commissioned by the Swedish government to support the state funded higher education institutions in their gender mainstreaming efforts. Specifically, the institutions are to develop their own gender mainstreaming plans.</p> <p>Common basic values for central governmental employees – a summary (S2014.021)</p> <p>Organisational regulations and procedures Umeå University follows national regulations and emphasises work on equal opportunities. The Umeå University Vision states: “The university is characterised by an inclusive culture where equality, diversity and equal opportunities are self-evident.”</p>	<p>Ongoing initiatives Measures to avoid discrimination, victimization and harassment, are important parts of the work with work environment and equal opportunities. Improvements are made continuously, for example through the work with action plans and guides to managers and a new procedure for reporting on victimization, harassment and discrimination.</p> <p>Other examples of continuous improvement initiatives are a project at the Faculty of Science and Technology to ensure access to laboratories for researchers with disabilities, information material to improve accessibility in communication, and a project on “how to recruit without discriminating”.</p>

		<p>Equal opportunities is Umeå University’s “umbrella term for work on equality and gender, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age”. Related policies and plans include:</p> <ul style="list-style-type: none"> • Work Environment and Equal Opportunities Policy. • Action plan for equality integration for the period 2017-2019. • Procedure for handling discrimination, harassment and bullying. <p>Questions about for example discrimination are included in the employee satisfaction conducted every third year. In the 2018 survey, a positive trend was noted. The number of formal complaints is presented in the annual report.</p> <p>Organisational resources</p> <p>The importance placed on equal opportunities is among other things evident in how Umeå University has a Deputy Vice-Chancellor of Education and Equal Opportunities, and an interfaculty Strategic Council for Equal Opportunities (LIV).</p> <p>Each department has an equal opportunities representative.</p> <p>Information about equal opportunities as well as about how to handle cases of discrimination, harassment and bullying is available via the intranet (in English and in Swedish).</p>	<p>The Language Policy for Umeå University from 2019 emphasises Swedish as the administrative language, but it also states that policy documents of importance for employees and students should be translated into English.</p> <p>Improvements in access to information in English (see principle 4) can be seen as continuous improvements relating to principle 10.</p>
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<p>11. Evaluation/ appraisal systems</p>	<p>++</p>	<p>National regulations and resources Ordinance (2007: 603) on Internal Control. Internal Audit Ordinance (2006: 1228).</p> <p>The Swedish Higher Education Authority (UKÄ) evaluates the quality of doctoral programmes (see guidelines for the evaluation of third-cycle programmes). In this evaluation process, the university conducts a subject specific self-assessment, followed by an external evaluation. All doctoral programmes have not yet been evaluated in this 6-year cycle system, which commenced in 2017 and will end in 2022.</p> <p>UKÄ has also been tasked to review also the quality systems for research put in place at each university. Pilot reviews are conducted in 2019 and 2020.</p> <p>The Swedish Research Council conducts evaluations of research, of research topics (such as mechanics or literature) and of government-initiated research efforts. The evaluations focus primarily on scientific quality. Responsibility for compliance with ethical guidelines rests with the beneficiary/academic institution. Evaluation may lead to a redistribution of funds within the framework of an ongoing effort.</p> <p>Organisational regulations and procedures Umeå University makes annual follow-ups on a number of targets relating to research (outputs, recruitment, et cetera).</p> <p>Traditionally, there have not been regularly recurring external evaluations of research at departments/faculties, although such evaluations have been performed on occasion.</p> <p>External evaluation at the individual level takes place before an appointment to associate and professor and for promotion to docent.</p>	<p>Recent initiatives</p> <p>Umeå University has implemented and further developed its quality assurance system for education, including doctoral education. The system includes annual and triannual follow-ups, as well as collegial review (from outside the department) of doctoral education in a 6-year cycle.</p>
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Recruitment and Selection			
12. Recruitment	++	<p>National regulations</p> <p>The Instrument of Government, Ch.12, Section 5: “When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account.”</p> <p>The Public Employment Act (1994:260), Section 4: “When making appointments only objective factors such as service merits and competence shall be taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist.”</p> <p>The Swedish Higher Education Act (1992:1434) and The Higher Education Ordinance (1993:100) provides a framework for appointments.</p> <p>According to the Higher Education Ordinance (1993:100), Ch. 7, sections 35, 39 and 40, general entry requirements to doctoral studies are a secondary cycle qualification of at least 240 credits (60 in second-cycle) or “substantially equivalent knowledge”. An institution may decide on specific entry requirements (“essential for students to be able to benefit from the [...] programme”).</p> <p>Discrimination Act (2008:567)</p>	<p>Recent initiatives</p> <p>The Appointments procedure is regularly followed-up updated. Updates made in 2018 and 2019 concerned for example:</p> <ul style="list-style-type: none"> • more open conditions regarding scientific and pedagogical competence (for example degrees considered comparable to a PhD can be the foundation for employment as associate professor); • specifying conditions for assistant professor; • removing an older type of temporary career position (Sw. forskarassistent); • changes in assessment criteria for pedagogical skill; changes regarding

		<p>The main teaching positions in the Swedish system are Professor and Associate Professor. In addition, there are career positions (for instance postdoctoral fellow) and specialised positions to contribute external competence to education (for instance time limited adjunct positions) or to maintain clinical, education and research activity (associate professor combined with clinical practice). Such positions also open up for alternative career paths.</p> <p>Organisational regulations According to the internal regulations recruitment should be merit-based (based on competence), open (generally internationally advertised) and transparent (with predefined processes and specified selection criteria). All individuals must have equal opportunity to be appointed to a position given an assessment of their merits and competence.</p> <ul style="list-style-type: none"> • Appointments Procedure for Teachers at Umeå University. • Vision for Umeå University and Basic Values at Umeå University. <p>Organisational resources Recruitment training is included in programmes on research leadership and general leadership. There is a network for HR-administrators and another for administrators working with the recruitment tool Varbi.</p>	<p>promotion from lecturer to associate professor;</p> <ul style="list-style-type: none"> • integrating collaboration with the surrounding society as part of the assessment of scientific and pedagogical competence, et cetera.
13. Recruitment (Code)	+/-	<p>National regulations and resources The Swedish Higher Education Act (1992:1434) The Higher Education Ordinance (1993:100) According to the Higher Education Ordinance Ch. 2, section 2, p.9 the University Board shall set employment regulations (appointment procedure).</p>	<p>Recent and proposed initiatives A review has been conducted of the English translation of titles for different positions, which facilitates international comparisons. The new titles apply as of January 1, 2020.</p>

		<p>The Instrument of Government, Ch. 12, Section 5: “When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account.”</p> <p>The Public Employment Act (1994: 260) Section 4 Merits and competence,</p> <p>Employment Ordinance (1994:373)</p> <p>The Freedom of the Press Act (1949:105) Ch. 2. On the public nature of official documents</p> <p>Discrimination Act (2008:567)</p> <p>The Language Act (2009:600)</p> <p>The Swedish Higher Education Authority (UKÄ) has developed a guide for legal certainty in appointment processes at Swedish universities.</p> <p>Organisational regulations and procedures</p> <p>In line with national regulation, internal regulations state that recruitment at Umeå University should be based on merit and competence, generally internationally advertised, and follow predefined processes and specified selection criteria.</p> <ul style="list-style-type: none"> • Appointments Procedure for Teachers at Umeå University. • Rules for the recruitment process for teachers. <p>Within the scope of the Appointments procedure, each of the four faculties have specified their own procedures for managing appointment processes. These are regularly updated.</p> <p>For admission to doctoral studies, positions must be advertised at least 3 weeks before the last day of application. Advertising should be carried out both nationally and internationally.</p> <p>For other positions, Umeå University adheres to the national minimum application time, although frequently the application time can be several months.</p>	<p>An ongoing initiative is to gather and present information on career development prospects on the external web (for applicants) and the intranet.</p> <p>An improvement measure: Include follow-up of the share of internal applicants in the annual report (related to the OTM-R checklist) and reporting on the following positions; doctoral student, postdoctoral fellow, research fellow, assistant professor, associate professor, professor. Reporting on the share of internal applicants can be considered an important indicator for whether advertisements are too specialised. This measurement will be added for the follow-up of 2020.</p>
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		<p>Gaps</p> <p>A gap concerns that career development prospects are not described in advertisements or related links and/or are not readily understandable for international applicants. This applies in particular for positions such as associate professor. Furthermore, information on the career development prospects of different positions is not easily accessible on the web.</p>	
14. Selection (Code)	+/-	<p>National regulations and resources</p> <p>The Higher Education Ordinance (1993:100), Ch. 4, section 5 Selection criteria for doctoral education; The Higher Education Ordinance (1993:100), Ch. 7, section 41. "...ability to benefit from the course of study programmes shall be taken into account". The institution sets the assessment criteria.</p> <p>Organisational regulations and procedures</p> <p>The Appointments procedure (p.3): "An inclusive approach should characterize the whole recruitment process. This means that aspects included in the assessment of achievements in terms of education, research and artistic work must not disadvantage any person [...]. This also means that preparation committees, external experts and appointment committees should all be gender balanced, unless special circumstances exist (Ch. 4, Section 5, Higher Education Ordinance).</p> <p>The University goal is for all workplaces to have a gender balance, which is defined as at least 40 per cent of the under-represented gender. During an appointments process, a person of the under-represented gender with the same or equivalent qualifications may be suggested for employment before a person of the opposite sex."</p> <p>For positions as professor, assistant professor, associate professor and research fellow, and for appointment as docent, external experts review applicants against eligibility/qualification requirements and assessment criteria. Faculty level panels</p>	<p>Ongoing and proposed initiatives</p> <p>In 2019, seminars were held to provide information on the appeal system, design of the recruitment profile and conflicts of interest in recruitment situations. Another initiative concerned "how to recruit without discriminating".</p> <p>An new suggested activity is to develop and implement a systematic training process for faculty level recruitment panels (following each formation of a new panel).</p> <p>Recurring training activities open for faculty members and HR professionals involved in recruitment at departmental level will be developed and advertised.</p>

		<p>consider reviews and interviews before recommending a candidate to the faculty dean or to the Vice-Chancellor (for professors). Selection for postdoctoral and doctoral student positions is primarily performed at the departmental level, with varying participation from research groups.</p> <p>Faculty appointment panels are gender balanced. The external reviewers include at least one man and one woman whenever possible.</p> <p>Gaps Faculty level appointment panels receive training, but the training should be more systematic, follow upon the formation of a new panel, and be undertaken at all faculties.</p> <p>The extent of training of ad hoc panels for post-doctoral and doctoral student positions at departmental level varies.</p>	
15. Transparency (Code)	+/-	<p>National regulations and resources The Swedish Higher Education Act (1992:1434) According to the Higher Education Ordinance (1993:100) Ch.2, Section 2, p.9, the University Board shall set employment regulations (appointment procedure) that the university applies together with the rules of appointment and promotion of teachers. Employment Ordinance (1994:373) Public Access to Information and Secrecy Act (2009:400)</p> <p>Applications and employment decisions are public documents.</p> <p>Organisational regulations and procedures As a general principle "... all appointments at Umeå University should be open-ended appointments. However, exceptions may be made for teachers in accordance with the Higher Education Ordinance for adjunct professors, visiting professors, assistant professors and within artistic disciplines. In other cases, time</p>	<p>Recent and proposed initiatives Assistant professor is a relatively new career position with explicit career development opportunities. It primarily aims for the researcher "to develop his or her independence as a researcher and acquire research and teaching qualifications to meet the qualification requirements for appointment as an Associate Professor". (Appointments procedure p. 8) Its usage differs across the university.</p> <p>Development of the external information directed towards potential applicants (see p. 13)</p>

		<p>restrictions may apply in accordance with the Employment Protection Act (1982:80). Teaching posts may also be subject to time restrictions pursuant to central and local collective agreements.” (Appointments procedure, p.4).</p> <p>Assistant professors can be promoted to associate professor (without a new position being advertised) if they meet the qualifications.</p> <p>Umeå University advertisements generally include the number of positions open and always include eligibility/qualification criteria and selection/assessment criteria.</p> <p>Applicants are notified upon submitting their application and following the appointment decision. Additional notifications during the process are possible and often utilised, but are not mandatory.</p> <p>Umeå University uses the online system Varbi throughout the recruitment process, providing a clear application structure and facilitating communication.</p> <p>Applicants have the right to access external expert assessments and protocols from selection committee meetings.</p> <p>For admission to doctoral studies, a general study syllabus must be available, detailing “entry requirements and other conditions for general eligibility and specific eligibility which apply for admission ...” and general assessment criteria.</p> <p>Gap Career development prospects are not described in advertisements or related links and/or are not readily understandable for international applicants for positions such as associate professor. See also principle 13.</p>	<p>particularly regarding career opportunities is ongoing.</p> <p>Links to information on career development prospects will be included in advertisements.</p>
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16. Judging merit (Code)	++	<p>National regulations and resources The Public Employment Act (1994:260) Section 4 Merits and competence. The Higher Education Ordinance (1993:100) Ch. 4.</p> <p>Organisational regulations Appointments Procedure for Teachers at Umeå University.</p> <p>The criteria set out in the appointments procedure emphasise merit, and there are criteria both for research expertise and for educational expertise. (Additional criteria apply for artistic expertise and clinical expertise.) The criteria for assessment of research expertise are:</p> <ul style="list-style-type: none"> • breadth and depth of research – quality and scope • originality of research • productivity • contributions to the international research community • assignments within the research community • the ability to competitively obtain external research funding • collaboration with the surrounding society (Appointments procedure, p. 15) <p>The Faculty Dean can expand these criteria, which for instance is important for defining the role of a professor in different areas.</p> <p>Instructions for how to structure the applications are available via the web pages of each faculty.</p>	
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<p>17. Variations in the chronological order of CVs (Code)</p>	<p>++</p>	<p>National regulations and resources Employment Ordinance (1994:373) Discrimination Act (2008:567) Parental Leave Act (1995:584)</p> <p>Organisational regulations As mentioned related to principle 10, Umeå University follows national regulations and emphasises work on equal opportunities. Equal opportunities is Umeå University’s “umbrella term for work on equality and gender, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age”. The importance placed on equal opportunities is among other things evident in that Umeå University has a Deputy Vice-Chancellor of Education and Equal Opportunities, and an interfaculty Strategic Council for Equal Opportunities (LIV). Each department has an equal opportunities representative.</p> <p>The evaluation for different positions follows publically available criteria, not the chronological order of the CV.</p> <p>Variations in the chronological order may for example be a result of parental leave. Umeå University supports employees’ possibility to take parental leave and it is common for researchers to utilise their right to parental leave. (An issue brought forward is however the relatively short period when certain career development activities can be undertaken, which is a challenge for career development and support of career development).</p> <p>Questions about for example discrimination are included in the employee satisfaction survey conducted every third year. The results of the 2018 survey show a positive development compared to the results of the 2014/2015 survey.</p>	
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<p>18. Recognition of mobility experience (Code)</p>	<p>++</p>	<p>National regulations and resources There is no national regulation relating to mobility experience. However, the Instrument of Government, Ch. 12, Section 5 states: “When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account.”</p> <p>Organisational regulations In the Appointments procedure, the criteria for assessment of research expertise for all teacher positions include for example “breadth and depth of research”, “contributions to the international research community” and “collaboration with the surrounding society”. Recognition of mobility experience can be taken into consideration under these criteria.</p> <p>Faculties may specify further criteria for assessment. In this context, the medical faculty has for example added a post-doctoral position (at another higher education institution than the doctorate was gained) as an example of a merit for appointment as associate professor and becoming a professor. The Faculty of Science and Technology lists work abroad after the doctorate as an item to include in the application.</p> <p>Umeå University provides a variety of support measures for mobility, which also serve to signify the importance attributed to mobility. The International Office for example provides support primarily for teaching, but also for research, exchanges through different mobility schemes. The Grants Office can assist researchers applying for EU-mobility grants such as Marie Skłodowska Curie Actions.</p>	
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<p>19. Recognition of qualifications (Code)</p>	<p>++</p>	<p>National regulations and resources The Higher Education Ordinance (1993:100) According to the Higher Education Ordinance (2010: 1064) Ch. 2, Section 2, the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers.</p> <p>Organisational regulations Appointments Procedure for Teachers at Umeå University</p> <p>The control of qualifications is in part conducted by the external experts and in part by Umeå University (faculty level or departmental level for postdoctoral fellows and doctoral students). For the top candidates, it is customary to conduct reference checks.</p> <p>Organisational resources In case of uncertainty regarding a candidate's degree or the university where a degree was obtained, departments may call on the university's admissions officers for support.</p>	
<p>20. Seniority (Code)</p>	<p>++</p>	<p>National regulations and resources The Instrument of Government (1974:152) Ch. 12, Section 5. The Public Employment Act (1994:260) Section 4. The above legislation states that only objective factors (for example merit and skills) should influence the employment decision. The Swedish Higher Education Act (1992:1434) Discrimination Act (2008:567) "The purpose of this Act is to combat discrimination and in other ways promote equal rights and opportunities regardless of sex, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age." Collective agreement for position as postdoctoral fellow.</p>	

		<p>Organisational regulations</p> <p>In line with national regulation, the internal regulations for recruitment at Umeå University state that it should be based on the individual's competence, generally internationally advertised and transparent for instance with predefined processes and specified selection criteria.</p> <ul style="list-style-type: none"> • Appointments Procedure for Teachers at Umeå University. <p>All faculties have specified additional criteria for the appointment of associate professors, professors as well as for promotion to docent (an honorary title rather than a formal position), pointing to specific achievements. All faculties explicitly although in different ways emphasise the currency of the knowledge and the scholarly production for appointment as professor.</p> <p>Specific guidelines for employment apply when the pension age has been reached.</p>	
21. Postdoctoral appointments (Code)	++	<p>National regulations and resources</p> <p>The Instrument of Government, (1974:152) Ch. 12, Section 5. Employment Protection Act (1982:80) (LAS) Section 5. Collective agreement for position as postdoctoral fellow. It applies to individuals employed on a postdoctoral agreement. Postdoctoral fellows shall primarily carry out research. Teaching can be included in the duties, but at most equivalent to one-fifth of total working hours.</p> <p>Organisational regulations</p> <p>The Appointments procedure, sections 2.7 and 2.7.1. provides the details of a postdoctoral appointment: "A Postdoctoral appointment aims to provide those who have recently completed their doctoral degree with an opportunity to consolidate and develop their research expertise. Duties should primarily be focused on conducting research. Teaching may also</p>	

		<p>be included in the duties, though to maximum of 20 per cent of the total working hours.</p> <p>A Postdoctoral appointment shall normally pertain to two years full time, in accordance with the applicable central collective agreement, (...).”</p> <p>“A person who has been awarded a doctorate or a foreign qualification deemed to be the equivalent of a doctorate shall be qualified for employment as a post-doctor. Priority should be given to candidates who have completed their doctoral degree no more than three years before the closing date of the application. A candidate who has completed their degree prior to this may be considered if special circumstances exist. Special circumstances include absence due to illness, parental leave or clinical practice, appointments of trust in trade union Organisations or similar circumstances. (...).”</p> <p>In addition to the two-year postdoctoral appointments (postdoctoral fellow), Umeå University has four-year temporary appointments as assistant professor, a relatively new career position. It can be seen as a possible step after holding a postdoctoral position.</p>	
Working Conditions and Social Security			
22. Recognition of the profession	++	<p>National regulations and resources The Swedish Higher Education Act (1992:1434), Ch. 1, Section 6 and Ch. 2 Section 6. Employment Protection Act (1982:80), regulates the relationship between employees and employers.</p> <p>Organisational regulations and procedures Research staff at Umeå University are recognised as professionals. For example, doctoral students at Umeå University generally have a formal employed position. Scholarships (stipends) are exceptions. Admission to doctoral education with</p>	

		<p>scholarship funding can only be made following a decision by the Vice-Chancellor.</p> <p>Organisational resources Umeå University provides various support activities for applying for research funding, pedagogical development, research and teaching mobility and dissemination and engagement with society. Professional achievements, such as promotion to docent or pedagogical promotion, result in a standard salary increase in addition to the yearly salary revision.</p>	
23. Research environment	+/-	<p>National regulations The Work Environment Act (1977:1160) The Work Environment Ordinance (1977:1166) Systematic Work Environment Management (AFS 2001: 1) Organisational and social work environment (AFS 2015: 4) Discrimination Act (2008:567) Social Insurance Act (2010:110) Flammable and Explosive Goods Act (2010:1011) Flammable and Explosive Goods Ordinance (2010:1075) Protection against Accidents Act (2003:778) The Environmental Code (1988:808)</p> <p>Organisational regulations and resources The head of department is responsible for the researchers' work environment and for introduction of new employees, including safety measures. New employees working in lab environments receive information about applicable safety procedures. Purchases of chemical products are registered. Employees attend fire safety training.</p> <p>New employees are offered an introduction course. The International Staff Support arranges introductions, social activities and language training for international faculty.</p>	<p>Recent and proposed initiatives Recently formed strategic partnerships can facilitate research collaboration.</p> <p>A recent project developed the management of research infrastructure (equipment, installation, database, virtual or other knowledge-based resources) in order to enable research of the highest quality. The project developed principles for planning, funding and prioritising as well as frames for functional support.</p> <p>A project will ensure that introduction activities have a substantial content covering the role of the researcher and performing research (for instance through reviewing introduction information, checklists, and activities). Alternative approaches to introduction and alternative</p>

		<p>Employees have suitable office space and IT-equipment, access to labs and other facilities, and to video conference rooms and e-meeting software. Umeå University also has a policy for distance work.</p> <p>Researchers have access to relevant research infrastructure. The University Library provides access to journals, books and databases, and provides publishing support.</p> <p>Researchers can attend a variety of disciplinary and cross-disciplinary research seminars.</p> <p>Researchers receive support for academic writing, grant applications, commercialisation and engagement with surrounding society. Writing grant applications is important given the relatively low levels of guaranteed research funding in the Swedish system.</p> <p>Employees receive a partial reimbursement for the cost of participating in a recurring training or wellness activity.</p> <p>"Culture at Campus": Free cultural events at lunchtime open to both students and staff.</p> <p>Gaps There is a gap relating to introduction of researchers. Relatively few newly employed researchers attend the (Swedish) introductory course. Information and introduction provided at all levels should be more targeted to the researcher role.</p> <p>Aspects of the research support system can be developed further (see principles 2, 4, 5 and 7).</p>	<p>tools should be explored (for instance linked to a potential upcoming national initiative on joint introductory education for governmental employees, to be further reported in spring 2020).</p> <p>The participation of (Swedish-speaking) researchers in introduction activities should be increased, and the revised introduction activities will be marketed to this end.</p> <p>As mentioned above, the research support will be strengthened through the development of Grants Office to a research support office. The office will provide pre-award and post-award support throughout the research process, as well as develop and provide competence on a variety of research issues, in collaboration with for instance the Human Resources Office and International Office. (See principles 2,4,5, and 7)</p>
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24. Working conditions	+/-	<p>National regulations and resources The Work Environment Act (1977:1160) The Work Environment Ordinance (1977:1166) Discrimination Act (2008:567) Social Insurance Act (2010:110) Flammable and Explosive Goods Act (2010:1011) Protection against Accidents Act (2003:778) The Environmental Code (1988:808) The Working Hours Act (1982:673) Parental Leave Act (1995:584) Annual Leave Act (1977:480) Co-Determination in the Workplace Act (1976:580) The Swedish legislation ensures rights such as employment security, vacation, regulated working hours and parental leave. Parental leave is available to both parents.</p> <p>Organisational regulations and procedures (see also p.23) Umeå University follows the national regulations.</p> <p>Umeå University has an integrated policy for work environment and equal opportunities, a rule for systematic work environment management, and a work environment committee.</p> <p>The head of department is responsible for the work environment at their department, the Dean has responsibility for the faculty and the Vice-Chancellor holds the ultimate responsibility for the university-wide work environment and work environment management.</p> <p>A work environment representative, appointed by the unions, represents employees in work environment discussions at departmental level.</p> <p>The Local collective agreement on cooperation for development at Umeå University describes fora for information and cooperation with employees and unions.</p>	<p>Recent and proposed initiatives Following new directives for systematic work environment management, the routines for investigation, risk-assessment and follow up of work environment issues will be reviewed in 2019 and 2020.</p> <p>A recent initiative was the implementation of a tool for analysis of sick leave and support for rehabilitation work (2019) and implementation of preventive measures.</p> <p>As a further development of the working conditions, a project has been initiated to facilitate accommodation for researchers.</p> <p>Against the background of a particularly high level of long-term sick leave among doctoral students, a pilot for a development programme for doctoral students to improve conditions for a long and sustainable working life in a competitive academic community was run in spring 2019, and a second programme and further evaluation is planned for 2020.</p> <p>Following the 2018 employee satisfaction survey, a new project will identify causes for self-</p>
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		<p>Every third year Umeå University conducts an employee satisfaction survey. The 2018 survey showed strengths for instance for possibilities to combine parenthood and work, freedom from discrimination, support from colleagues, and meaningful work. Responses also indicated a high workload for professors and associate professors.</p> <p>Organisational resources Researchers at Umeå University have the right to competence development up to 20 per cent of full-time, subject to departmental policy and extent of teaching.</p> <p>Gaps Reported high workload for professors and associate professors and a relatively high level of long-term sick leave and stated difficulty to balance teaching-research commitment for doctoral students.</p>	<p>reported high workload and difficulty with recovery among associate professors and professors.</p>
25. Stability and permanence of employment	++	<p>National regulations and resources Employment Protection Act (1982:80) Employment contracts have indefinite duration. Temporary contracts are allowed in certain cases:</p> <ul style="list-style-type: none"> • Probationary period, maximum six months. • General temporary-term ALVA. • Substitute. • Seasonal work. • Workers from age 68 (Jan 1, 2020). <p>General temporary employment, ALVA (1982:80 Section 5a), allows a worker to be employed for a defined time. A worker that has been employed with the support of the ALVA in aggregate more than two years during the last five years will receive a permanent employment.</p> <p>Specific temporary employment regulated by the Higher Education Ordinance (for example guest professor) or the post-doctoral agreement does not qualify for a permanent position.</p>	

		<p> Employment Ordinance (1994:373) The Higher Education Act (1992:1434) The Higher Education Ordinance (1993:100) Prohibition of Discrimination of Employees Working Part Time and Employees with Fixed-term Employment Act (2002:293) </p> <p> A large portion of Swedish governmental research funding is awarded in competition via research councils. Such project based funding is the basis for a large share of both temporary career positions and research conducted by researchers with a permanent position. </p> <p> Organisational regulations Umeå University considers the principle implemented - within the frames set by the national funding systems. </p> <p> Doctoral student positions are for four years of full-time studies, but can be extended to maximum five years if a student teaches in parallel (maximum 20 per cent). </p> <p> Doctoral student positions and career-positions (postdoctoral fellow, assistant professor) account for a large portion of temporary positions at Umeå University. </p> <p> For associate professors or professors, the extent of internal research may vary between faculties and across years. Allocation systems are often based on performance. External research funding is important to sustain significant levels of research. </p>	
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26. Funding and salaries	++	<p>National regulations and resources</p> <p>Social insurance in Sweden derives both from residence and employment (benefits for loss of income). It covers for instance:</p> <ul style="list-style-type: none"> • Unemployment insurance. • Family support; insurances (for example parental benefit), child allowances, and means- and needs-tested allowances. The flexible parental leave system is directed to both parents: the parental benefit encompasses 480 days for one child, with 90 days earmarked for each parent. • Sickness benefit. • Benefits in case of occupational injuries and disability. • Occupational pension. In addition to income-based national retirement pension, a percentage of the annual income is set aside by the university to the individual's future pension. • Survivor's pension. <p>Parental Leave Act (1995:584) Annual Leave Act (1977:480) Social Insurance Act (2010:110) National collective agreements between employers and the unions SACO-S, SEKO and OFR/S,P,O. ensures a contractual salary and equitable social security provisions.</p> <p>Kammarkollegiet provides a national group insurance covering foreign scientists.</p> <p>The Swedish Pensions Agency administers and disburses the national pension, and provides information.</p> <p>Organisational regulations and procedures</p> <p>Salaries are individual*, set after salary talks between employee and employer, and subsequent negotiations between the employer and the unions. The annual salary review is based on</p>	
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		<p>university-wide salary criteria and potential department specific criteria. * R1 salaries are set according to predetermined milestones.</p> <p>The principles for allocation of research to associate professors and professors differ between faculties. Associate professors have at least 20 per cent competence development (which can be utilised for research), and research time can be extended via additional internal funding or, primarily, through external funding. Professors have approximately between 25 and 75 per cent of internal funding for research. Frequently, the allocation of research time has a performance-based component.</p> <p>Postdoctoral fellows and assistant professor are guaranteed a dominant portion of research.</p>	
27. Gender balance	+/-	<p>National regulations and resources The Higher Education Ordinance (1993:100), Ch 2, Sections 7a and 8, Ch. 4, section 5. Discrimination Act (2008:567)</p> <p>Organisational regulations and procedures Umeå University has an integrated work environment and equal opportunities policy.</p> <p>The Appointments Procedure for Teachers at Umeå University page 3 states: "An inclusive approach should characterize the whole recruitment process. This means that aspects included in the assessment of achievements in terms of education, research and artistic work must not disadvantage any person, given the existing criteria around discrimination. This also means that preparation committees, external experts and appointment committees should all be gender balanced, unless special circumstances exist (Ch. 4, Section 5, Higher Education Ordinance).</p>	<p>Recent and proposed initiatives</p> <p>The 2017-2019 Umeå University plan for equality integration proposed measures to counteract potential reproduction of stereotypical gender roles in work conditions, recruitment and external funding.</p> <p>Umeå University has also decided to implement an equality perspective in preparation of issue, decision making and in follow-up.</p> <p>A target was that at least 52% of newly recruited professors in 2019 should be women. This target will be followed up in 2020. New activities will be set to strive</p>

		<p>The Umeå University goal is for all workplaces to have a gender balance, which is defined as at least 40 per cent of the under-represented gender. During an appointments process, a person of the under-represented gender with the same or equivalent qualifications may be suggested for employment before a person of the opposite sex.”</p> <p>Gap Overall, Umeå University has a gap relative the standard in that the share of female professors in 2019 was 32 per cent (ranging between 24 and 35 per cent depending on faculty, which can be compared with the 48 per cent of associate professors that are female). Umeå University has also been faced with many female professors reaching the retirement age.</p>	towards gender balance at the professorial level during 2020.
28. Career development	+/-	<p>National regulations and resources Employees’ Rights to Educational Leave Act (1974: 981) Right to Leave to Conduct a Business Operation Act (1997: 1293) Act (2008: 565) on the right to leave due to sickness to try other work Ordinance on leave of absence (1984:111) Collective agreements.</p> <p>Organisational regulation Promotion to professor is not a given right; however, permanently employed associate professors may be promoted if their department deems it of strategic importance.</p> <p>Organisational resources Researchers at Umeå University have the right to competence development time.</p> <p>All employees are offered an annual development review and should have an individual development plan.</p>	<p>Recent and proposed initiatives Umeå University has developed and successively revised a two-step system for acquisition of educational qualifications with external review.</p> <p>Three faculties implemented/are in the process of implementing a Future Faculty programme, targeting R2 researchers with a fixed-term employment.</p> <p>Another initiative is the pilot of a development programme for doctoral students to improve conditions for a long and sustainable working life in academia. One faculty has decided to implement a mentor</p>

		<p>Umeå University has various programmes for career development, most notably;</p> <ul style="list-style-type: none"> • The Umeå Centre for Educational Development offers courses and workshops for professional development. • Real is a programme for research leadership and career development, targeting R2, R3 and R4 researchers based on a competitive application process. <p>Umeå University is a Euraxess Service Center and provides links to Euraxess resources.</p> <p>The innovation support system provides advice on commercialisation opportunities (see principles 8 and 9).</p> <p>Gaps There are many career development activities available, but career development opportunities for R1, R2 and R3 are perceived as unclear, for instance relating to the possibility to advance to the next step in the career system and the share of research available. Research leadership programmes are based on a selection and focused on research careers, and the extent and quality of career support varies on the department level.</p> <p>Career development opportunities could be more clearly presented and the strategic approach to career development could be more developed and nuanced to cover alternative career paths related to research.</p> <p>The allocation of competence development time is not clear to all researchers.</p>	<p>programme for doctoral researchers.</p> <p>Strengthened research support can facilitate external funding.</p> <p>A recent initiative has mapped the central career support for new international researchers and gathered the information on the intranet.</p> <p>The competence development policy/application will be reviewed.</p> <p>Actions should be taken to ensure:</p> <ul style="list-style-type: none"> • Availability of career development activities and career advice for R1–R3 researchers, including advice for non-academic careers and alternative research careers; • information about and promotion of available career development activities for R1–R4 researchers, suitable to a variety of research careers. <p>Strategies for and communication of for career related aspects need to be developed to denote different career paths, for instance through strengthening the strategic career development focus for researchers in the annual development review (also for</p>
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			researchers not on typical research career paths).
29. Value of mobility	++	<p>National regulations and resources Employees' Rights to Educational Leave Act (1974: 981) Right to Leave to Conduct a Business Operation Act (1997: 1293) Act (2008: 565) on the right to leave due to sickness to try other work Ordinance on leave of absence (1984:111) and collective agreements. The Swedish Agency for Government Employees provides information about different types of leave applicable for governmental sector employees.</p> <p>The national evaluation of doctoral programmes includes an assessment of interactions with wider society both nationally and internationally and of discussing research in national and international contexts.</p> <p>Organisational regulations See also principle 18.</p> <p>Umeå University values mobility. The salary criteria include sharing experiences from national and international exchanges, successful collaboration with researchers (including international collaborations) and development of valuable contacts with the surrounding society.</p> <p>The value Umeå University places on mobility is also indicated through the Umeå University internationalisation strategy and through a variety of programmes and initiatives taken. The international office provides support for staff exchange in research and in teaching.</p>	<p>Recent initiatives The four faculties support internationalisation in both similar and different ways. Examples include sabbaticals and similar support for international stays, extending the research time for external recruitments, providing a budget for doctoral students' internationalisation activities, and funding for internationalisation of research and research seminars.</p> <p>The Faculty of Science and Technology has as a specific goal to increase its research conducted on national and international research infrastructure facilities.</p> <p>The International Office facilitates research exchanges through several university-wide collaborations. Examples are two three-year STINT programmes for research collaboration with Japan and South Africa and memberships in the Nordic Centres in India and in Shanghai, China. In addition, the International Office provides a broad selection of opportunities for teacher exchanges, for instance through Erasmus+.</p>

		<p>Organisational resources</p> <p>The individual study plan for each doctoral student must contain a section on the planned internationalisation experiences for the doctoral student.</p> <p>The Industrial Doctoral School for Research and Innovation is an example of support for mobility between industry/society and academia, where Umeå University funds 50 per cent of a doctoral position and an external part 50 per cent as part of a wider research project between the external Organisation and an Umeå University researcher. Other examples are projects focusing on short term exchanges between industry/society and academia.</p> <p>Funding for conference attendance is accessible via the Kempe foundations for all researchers. Doctoral students can also for such funding via the Student Union. Several departments provide limited funding for conference participation.</p>	
30. Access to career advice	+/-	<p>National regulations and resources</p> <p>The Higher Education Ordinance (1993:100), Ch. 6, sections 28, 29 – Access to supervisors, Individual study plan. Job Security Agreement</p> <p>Organisational resources</p> <p>Career advice is at present primarily the responsibility of departments via the development review, but is also available through doctoral courses, doctoral schools, research leadership programmes (REAL) and introduction to leadership (Sw. Nyfiken på ledarskap).</p> <p>The innovation support system as well as the Industrial Doctoral School provides information about a potential career as an entrepreneur.</p> <p>Umeå University is a Euraxess Service Center and provides links to Euraxess resources.</p>	<p>Ongoing and proposed initiatives</p> <p>The Faculty of Science and Technology and the doctoral school at the Faculty of Arts are developing doctoral courses focusing on career development. As described under principle 28 there is ongoing implementation and further development of a Future Faculty programme as well as development of the information on career development.</p> <p>Information about career related activities (advice on different career paths, courses, supporting activities, dual career activities, et</p>

		<p>Gaps</p> <p>There are several instances of career activities at Umeå University, but access to career advice (and job placement assistance) is unevenly accessible. A further gap is that career advice is largely focused on careers within academia.</p>	<p>cetera) offered to different researchers is gradually being developed.</p> <p>Actions should be taken to ensure availability to career development activities and career advice in particular for R1 but also R2–R3 researchers, including advice for non-academic careers and alternative research careers; to ensure information and promotion of available career development activities for all researchers, suitable to a variety of research careers; and to strengthen strategic career development focus for researchers in the annual development review (also for researchers not on career positions/typical research career paths).</p>
31. Intellectual Property Rights	++	<p>National regulations and resources</p> <p>Act (1949: 345) on the Right to Employee Inventions states that teachers at Swedish universities own the rights to their won patentable research results (also known as the “Teachers exemption”).</p> <p>The Swedish Higher Education Act (1992:1434) Ch.1, Section 3a – Upholding academic credibility and good research practice; Section 6- Research results may be freely published.</p> <p>The document "Principles for handling intellectual property in research agreements" by the Association of Swedish Higher</p>	

		<p>Education, is recommended as praxis for Swedish Higher Education Institutes.</p> <p>Organisational resources Information on intellectual property rights is available through the Umeå University innovation support system (for instance the Innovation Office or incubators within the system).</p> <p>The Umeå University Legal Division provides support and information regarding handling of issues relating to research and education.</p> <p>Open Access Policy for Scientific Publishing at Umeå University.</p>	
32. Co-authorship	+/-	<p>National regulations and resources There is no Swedish legislation regarding co-authorship in research. The Swedish Research Council (Sw. Vetenskapsrådet, VR) publishes recommendations on good research practice.</p> <p>(The Association of Swedish Higher Education has developed a recommendation on Principles for handling intellectual property in research agreements as praxis for Swedish Higher Education Institutions.)</p> <p>Organisational regulation and practice Umeå University has a positive view on research collaborations resulting in co-authorship, but how common co-authorship is and whether there are formal guidelines varies between faculties and disciplines. The bibliometric data collected considers co-authorship. Some performance indicators may work against co-authorship (measuring performance based on author fractions), and other indicators support it.</p>	<p>Proposed initiative Strengthening of practices supporting co-authorship by improving awareness.</p>

		<p>Issues relating to co-authorship are for instance discussed in doctoral schools, doctoral courses and in the course Post graduate supervision in practice.</p> <p>Gap There are differences between departments/disciplines regarding the existence of /awareness of a clear policy and discussions on principles regarding co-authorship, for instance co-authorship contributions, documentation of co-authorship and planning for co-authorship. A lack of awareness and a lack of established practices constitute a gap.</p>	
33. Teaching	+/-	<p>National regulations The Higher Education Ordinance (1993:100), Ch. 5, section 2: “Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may 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.”</p> <p>Collective agreement for positions as postdoctoral fellow. Teaching can be included in the duties, up to one-fifth of total working hours.</p> <p>Organisational regulations According to the Appointments procedure, research fellows can maximum have 25 per cent teaching. Assistant professors should mainly be focused on research.</p> <p>Each faculty stipulates that professors and associate professors should teach and carry out other tasks in addition to research. Targets are often set to 20-25 per cent for professors (outcomes varies for example depending on educational needs).</p> <p>Educational expertise is a requirement for appointment as associate professor through “documented experience of</p>	<p>Ongoing and proposed initiatives A review of the implementation of documentation of time for doctoral supervision in the personnel planning is suggested as a future initiative.</p> <p>A pilot development programme for doctoral students (and their supervisors) to improve conditions for a long and sustainable working life in a competitive academic community was run in 2019 and a second version is scheduled for spring 2020, see also principles 24 and 28.</p>

		<p>planning, implementation, examination and evaluation of teaching and (...) a reflective approach to student learning and one's own teacher role". (Appointments procedure, p. 6)</p> <p>Doctoral students receive credits for pedagogical courses and researchers can use competence development time for pedagogical training. Postdoctoral fellows and research fellows must complete pedagogical courses in order to teach.</p> <p>Doctoral students often extend their study period by teaching (if teaching is available).</p> <p>Gap The document Regulations for Doctoral Education at Umeå University stipulates that doctoral students shall have access to supervision equivalent to a minimum of 100 hours per full time year of study. (Including preparation and follow-up activities). The time allocated "shall be included in the supervisors' normal working hours and be documented in the personnel planning." However, such time is not consistently documented.</p> <p>The 2018 report on experiences of graduating doctoral students indicate a difficulty to balance teaching and studies.</p>	
34. Complains/ appeals	++	<p>National regulations The Work Environment Act (1977:1160) Systematic Work Environment Management (AFS 2001: 1), SAM, regulations. Organisational and social work environment (AFS 2015: 4) Discrimination Act (2008:567) Act on Special Protection against Victimization of Employees Who Sound the Alarm about Serious Wrongdoings (2016:749) The Higher Education Ordinance (SFS 1993:100), Ch. 12, section 2, lists the types of decisions of the university as public authority that constitute a cause for appeal.</p>	<p>Recent initiative Development of a new procedure for reporting victimization, harassment and discrimination constitutes a continuous improvement activity.</p>

		<p>An applicant who has been rejected an appointment, has the right to appeal the decision of appointment to the Higher Education Appeals Board. If an appeal is approved, the appellant should be offered the appointment instead of the person that first received the appointment. Positions as a doctoral student are exempt from the appeals procedure.</p> <p>Doctoral students have a right to change supervisor upon request.</p> <p>Organisational regulations and procedures Umeå University has a policy for reporting victimization, harassment and discrimination. The university has an obligation to investigate any suspicion of discrimination or harassment under the Discrimination Act.</p> <p>In addition, appointed equal opportunity representatives are available at all departments, administrators at the faculties and central coordinators. Employees can turn to any of these for support.</p> <p>If a researcher is not satisfied with the investigation of a discrimination or harassment complaint, they can submit a complaint to the Equality Ombudsman.</p> <p>Umeå University has an established procedure for reporting and investigating scientific dishonesty.</p> <p>Organisational resources The work environment representatives support employees on working environment-related issues. The representatives are appointed by the unions and bound by secrecy.</p> <p>The occupational health services can also be approached for support, and are bound by secrecy.</p>	
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		Umeå University has a central coordinator for doctoral education, who among other things is a resource for doctoral students who wish to discuss how to resolve difficult issues relating to their studies.	
35. Participation in decision-making bodies	++	<p>National regulations</p> <p>The Swedish Higher Education Act (1992:1434) Ch. 2 Section 6 and 7.</p> <p>The Higher Education Ordinance (1993:100), Ch. 2, Section 7a.</p> <p>The Public Employment Act (1994:260) - regulates the employment for most of those working in government service and in the municipality and county council.</p> <p>Co-Determination in the Workplace Act (1976:580) regulates collective labour law. Its name refers to the objective to promote the employees participation of working conditions and management.</p> <p>The Language Act (2009:600) states that the official language of public organisations is Swedish.</p> <p>Organisational regulations</p> <p>Researchers are involved in the decision-making process through participation on boards such as the university board and faculty boards. Researchers are also represented in preparatory committees or advisory committees at all levels, such as department level research committees.</p> <p>The Local collective agreement on cooperation for development at Umeå University describes the main fora for information and cooperation with employees and with unions as representatives of the employees.</p> <p>The Language Policy for Umeå University from 2019 emphasises Swedish as the primary administrative language, but it also states that policy documents of importance for employees and students should be translated into English.</p>	

Training and Development			
36. Relation with supervisors	+/-	<p>National regulations The Higher Education Ordinance, (1993:100) Ch. 6, section 28 “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.” Ch. 6, Section 29 – individual study plans (ISP).</p> <p>The national evaluations performed by UKÄ encompass access to appropriate courses and supervisory support.</p> <p>Organisational procedures The individual study plan is followed up and the progress is assessed annually. In addition, there are different milestones to be achieved depending on the structure of the programme, such as thesis proposals and halfway seminars, or a certain amount of credits.</p> <p>Organisational resources Umeå University has a central coordinator for doctoral education, who informs about regulations, rights and obligations, and who is a resource for doctoral students who wish to discuss how to resolve difficult issues relating to their studies.</p> <p>Each doctoral programme has a director of doctoral studies who manages the program and provides support to doctoral students. Faculty research coordinators provide support to doctoral education. Doctoral research schools also provide courses and support.</p>	<p>Ongoing initiatives A number of initiatives were presented in the most recent report on how graduating doctoral students experience their education, including a pilot development programme for doctoral students to improve conditions for a long and sustainable working life in a competitive academic community.</p> <p>The programme comprises three different groups of students and supervisors, based on early, mid and late stages of the doctoral education.</p>

		<p>The intranet contains information on doctoral education, covering for example admissions, individual study plans, supervision and possibility to double and joint degrees.</p> <p>Gap Evaluations point to doctoral students experiencing better relationships with their supervisors and most are satisfied with their studies and with their supervision. However, there is a gap relating to coping with doctoral studies as evidenced by increases in sick-leave longer than 14 days, a lack of knowledge about regulations and obligations (although with an improving trend), and difficulty to balance teaching and studies.</p>	
37. Supervision and managerial duties	+/-	<p>Organisational regulations All supervisors are encouraged to take the course 'Postgraduate supervision in practice'. All doctoral students should have at least one supervisor who has completed this course or has corresponding competence. This course or equivalent is an Umeå University-wide condition for promotion from associate professor to professor.</p> <p>HandUm is a programme consisting of the course Postgraduate supervision in practice but also of seminars aimed to "support and develop doctoral supervisors in their professional role as supervisor. The seminars are a forum in which the doctoral supervisors from different faculties and departments can meet, make contacts, learn from one another's expertise and become an informal and supportive collegial network." There are four seminars per year.</p> <p>Gap As described under principle 36, supervision largely functions well, but there are issues relating to reported increases in sick leave longer than 14 days, a lack of knowledge about regulations and obligations, and experiences of harassment reported by</p>	<p>Ongoing initiatives A number of initiatives were presented in the most recent report on how graduating doctoral students experience their education, with activities relating to supervisors and managers, such as strengthening segments in the course Postgraduate supervision in practice and follow-up of sick-leaves.</p> <p>Another initiative is the pilot of a development programme for doctoral students to improve conditions for a long and sustainable working life in a competitive academic community, which also includes seminars for the supervisors.</p>

		doctoral students. These issues illustrate gaps relating to supervisory and managerial duties.	
38. Continuing Professional Development	++	<p>National regulation The Higher Education Ordinance (1993:100), Ch. 6, Section 29 – individual study plans.</p> <p>Organisational regulations and resources Researchers/teachers (R2–R4) should have a competence development plan, and all researchers have up to 20 per cent competence development. The competence development plan should be followed up in the annual development review.</p> <p>The Umeå University Centre for Educational Development offers courses, workshops and seminars in pedagogy, ranging from introductory courses to courses for experienced teachers. Pedagogical training is a requirement for permanent positions, and it is encouraged through the pedagogical promotion system.</p> <p>Researchers regularly attend conferences and workshops, locally, nationally and internationally, in person or on-line. The possibilities to register all types of conference participation (including poster presentations and oral presentation without paper) in the DIVA database for scientific publications have increased. While not necessarily a gap relative the principle, it should be noted that the opportunities to receive funding for travel and external courses vary.</p>	
39. Access to research training and continuous development	++	<p>National regulation The Higher Education Ordinance (1993:100), Ch. 6, Section 29.</p> <p>Organisational resources All researchers should have a competence development plan. Different faculties and departments have different opportunities to fund conference participation and courses. Umeå University</p>	Mentorship opportunities for R2–R4 faculty, see also principle 28, have been mentioned as a potential activity for improvement.

		<p>administers support for conference participation to which researchers can apply.</p> <p>Faculties offer theme days directed to teachers and researchers.</p> <p>Umeå University offers courses in grant application writing for researchers.</p> <p>The Umeå University Centre for Educational Development offers courses, workshops and seminars in pedagogy, ranging from introductory courses to courses for experienced teachers.</p> <p>The Innovation Office North and the innovation support system provides advice on for example commercialisation, and offers start-up programmes. There are three different incubators within the innovation support system.</p> <p>Researchers can apply for funding to support course or conference attendance (see also principle 29). While not necessarily a gap relative the principle, it can be noted that the opportunities to receive funding for travel and external courses vary.</p> <p>Doctoral students are offered subject-specific courses, general courses and courses focusing on generic skills. Each faculty typically offers a set of general courses (for instance methodology or research ethics).</p> <p>Doctoral students have access to the Academic Resource Centre, which supports academic writing, information search, et cetera.</p> <p>The support and the course offering to doctoral students are included in the national evaluations of the doctoral education.</p>	
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40. Supervision	++	<p>National regulations</p> <p>The Higher Education Ordinance (1993:100)</p> <p>Ch. 6, section 28: “At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. (...) A doctoral student who so requests shall be allowed to change supervisor.”</p> <p>Ch. 6, section 29: Individual study plans “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 programme. The plan shall be adopted after consultation with the doctoral student and his or her supervisors.</p> <p>The individual study plan shall be reviewed regularly and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. (...)”</p> <p>Ch. 6, Section 30: Entitlement to supervision and other resources A doctoral student, who substantially neglects his or her undertakings in the individual study plan, can lose the right to supervision and other resources.</p> <p>Ch. 6, section 31: under certain circumstances a doctoral student can recover the right to supervision and other resources.</p> <p>Organisational regulations</p> <p>Umeå University follows the national regulations. Umeå University also has a set of rules and regulations for the doctoral education. Additional provisions and information is available at each faculty.</p> <p>The mandated individual study plan is updated at least annually through a university-wide on-line tool.</p>	<p>Recent initiatives</p> <p>The national evaluations performed by the Swedish Higher Education Authority includes the access to competent supervisory support. The evaluations are followed by internal processing, which for instance has led to cancellation of programmes offering too small/narrow environments.</p>
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		Organisational resources In addition to the two supervisors, (one of whom is the main supervisor); the regulations specify each student at Umeå University shall have access to a reference group.	
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