



UMEÅ UNIVERSITY

RULES FOR DEPARTMENTS, UNITS, CENTRES, SCHOOLS, ACADEMIES AND INSTITUTES AT UMEÅ UNIVERSITY

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¹ This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.



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1. Description

These rules are based on the Rules of procedure for Umeå University. The Rules of procedure establish and describe the basic organisational entities at the University – departments, units and centres – and indicate that these entities can, under certain circumstances, be given the designation of school, academy or institute. These rules specify the criteria, duration and organisation of these entities and the procedures for establishing, monitoring, discontinuing or reorganising the entities.

2. Background

The Rules of procedure for Umeå University state that the basic organisational entities at Umeå University are departments, units and centres. The University conducts education, research and outreach within these entities. The rules of procedure state general rules for the organisation and specify that the Vice-Chancellor decides on more detailed provisions, including transitional provisions for entities that have been established in accordance with previously applicable regulations.

The Rules of procedure also state that a department, unit or centre can be designated as a school, academy or institute to raise the profile of its activities and heighten interaction and collaboration with external parties. The Vice-Chancellor decides on more detailed rules for designating a school, academy or institute.

These regulations present more detailed provisions for departments, units and centres and for designating a school, academy or institute. The regulations also provide English designations for these units and their managers.

The nature of the document's subject matter means the following perspectives have not been included: collaboration, internationalisation, accessibility and sustainability. The policy document is not regarded as having any consequences for gender equality at Umeå University.

3. Departments

3.1. Provisions of the Rules of procedure²

- *Departments are the foundation of the University's organisation. Departments conduct education, research and public outreach in one or more academic disciplines. Education normally includes first, second and third cycles.*
- *The University Board establishes, reorganises or discontinues departments.*
- *Departments are part of a faculty and are under the jurisdiction of a Faculty Board. In exceptional cases, a department may be part of more than one faculty. The University Board determines which faculty or faculties a department is to belong to.*
- *The dean appoints heads of department.³*
- *A department may, for special reasons, be subdivided into sub-sections under rules determined by the Vice-Chancellor.*

² Rules of procedure, Section 10.1.1.

³ If a department is part of more than one faculty, the deans of the faculties concerned collaborate on appointing the head of department. The management of the Umeå School of Business, Economics and Statistics is regulated in special provisions.



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3.2. Criteria and duration

A department includes complete environments, with education, research and public outreach. It needs to have sufficient critical mass and financial viability to ensure necessary functions over the long term and implement strategic changes over time.

Departments are established until further notice.

3.3. Establishment

The relevant Faculty Board approves the application submitted to the Vice-Chancellor for approval by the University Board. The application consists of the following parts:

- Name of the department (in Swedish and English).
- A statement from the Financial Office regarding the organisational number for the department.
- The department's purpose and mission, including details on the subject or subjects, any differentiations to existing activities within the University and the added value to the University and society by establishing the department.
- National and international analysis of the subject's or subjects' development.
- Analysis of the current status, planned development over the next three years and long-term development and sustainability (10-year or longer perspective), regarding:
 - attracting, retaining and developing talent
 - financial conditions
 - volume and specialisation of first-, second- and third-cycle education and of research
 - collaboration, including identified interested parties, partners or stakeholders
- Risk and impact assessment as specified in the Work Environment Act.

3.4. The organisation

The Rules of procedure specify, among other things, that each department is led by a head of department appointed by the dean, and how a head of department may reach decisions.

Standard is to have a cohesive department led by a head of department. However, if there are special circumstances or special organisational needs, sections may be established within a department, with specific responsibilities for finance, personnel and organisation delegated to a head of section. This option is chosen based on the number of staff, the composition or special activities of the department, such as research infrastructure.

The dean establishes sections based on proposals from the head of department. A proposal should include an explanation for the establishment and a risk and impact assessment for both establishing a section and for resolving the special needs without establishing a section. The application must also include

- the name of the section or sections (in Swedish and English)
- a description of the operational areas and mission
- a delegation of authority for the department
- a statement from the Financial Office on the corporate identification number for the section(s).



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The section is headed by a head of section appointed by the head of department in consultation with the dean. The dean determines the procedure for appointing heads of section at the faculty, including rules for terms of office. The head of department's delegation to heads of section is to be in writing.

Divisions are discontinued or reorganised by the dean based on proposals by the head of department.

3.5. Discontinuation or reorganisation

The head of department, dean or Vice-Chancellor can take the initiative to reorganise or discontinue a department. A thorough investigation and impact assessment (including risk and impact assessment in accordance with the Work Environment Act), discussions with relevant employees and managers, and collaboration with the trade unions precede a decision on reorganisation or discontinuation.

The University Board makes discontinuation or reorganisation decisions.

4. Units

4.1. Provisions of the Rules of procedure⁴

- *A unit is an organisational entity that should not constitute or be a part of a department for a specific reason.*
- *The Vice-Chancellor establishes, reorganises or discontinues units.*
- *Units are under the jurisdiction of a Faculty Board or equivalent. In exceptional cases, a unit may be part of more than one faculty. The Vice-Chancellor decides which faculty or faculties or equivalent that a unit is to belong to.*
- *A director appointed by the dean or equivalent heads a unit. An advisory body may be linked to the unit.*
- *At times determined by the Vice-Chancellor, the responsible Faculty or equivalent reassesses whether the unit's activities should continue in the same form or whether the unit should be reorganised or discontinued.*

4.2. Criteria and duration

A unit may be established to conduct or support education, research or outreach in a form that is more limited than a department or for some other reason is not appropriate to conduct within the framework of an existing department. This might involve a situation where the unit administers research infrastructures, engages primarily in external activities or conducts education or research, but not to such an extent that it merits classification as a department.

Units are established until further notice. The establishment decision specifies a time after which the responsible faculty reconsiders whether the activities should continue to be conducted in the

⁴ Rules of procedure, Section 10.1.2.



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same form or whether the unit should be reorganised or discontinued. The establishment decision also states how and when more detailed criteria and instructions for the review are determined.

4.3. Establishment

The relevant Faculty Board approves the application submitted to the Vice-Chancellor. The application must consist of the following parts:

- Name of the unit (in Swedish and English).
- A statement from the Financial Office regarding the organisational number for the unit.
- The unit's purpose and mission, any differentiations to existing activities at the University and an explanation for why the activities cannot be conducted in the form of a department.
- Proposals for when the unit should be reassessed.
- Analysis of the current status, planned development over the next three years and long-term outlook (five years or longer, depending on the activity):
 - attracting, retaining and developing talent
 - financial conditions
 - volume and specialisation of the organisation
 - outreach and relevant external parties
- Whether the unit is to have teaching posts and, if so, how these can be linked to both research and teaching.
- Risk and impact assessment as specified in the Work Environment Act.
- Proposal for a possible advisory body and its composition.
- Proposed instructions for the unit.

The Vice-Chancellor approves instructions when the unit is established.

4.4. The organisation

The Rules of procedure state that units are under the jurisdiction of a Faculty Board or equivalent and are headed by a director appointed by the dean.

If required by the activities and operations, an advisory body can be linked to the unit. This is regulated in the unit's instructions.

4.5. Reassessment and discontinuation or reorganisation

At the time and in the manner specified in the establishment decision, the responsible faculty is to reconsider whether the unit's activities should continue to be conducted in the same form or whether the unit should be reorganised or discontinued. If reorganisation or discontinuation is proposed, the Work Environment Act requires that a risk and impact assessment be conducted.

The Vice-Chancellor makes decisions on discontinuation or reorganisation.



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5. Centres

5.1. Provisions of the Rules of procedure⁵

- *A centre may be established to promote or highlight collaboration on research, education or cooperation across subjects or faculties, on a defined focus area or on public outreach. The purpose of a centre is to create added value that cannot be achieved within the framework of the regular line organisation.*
- *The Vice-Chancellor establishes, reorganises or discontinues cross-faculty centres or those established together with another main organiser outside Umeå University. The dean establishes other centres.*
- *Centres are established for a limited period, with the option for extension. An evaluation is carried out before the end of the initial period, with a recommendation on continuing, discontinuing or reorganising operations.*
- *A host department or unit administers centres, which do not have staff of their own.*
- *A centre has a steering committee, with representation from the involved parties, which decides on the overall direction of the centre. The body establishing the centre appoints members of the steering committee.*
- *A director manages the day-to-day activities of a centre. The body establishing the centre appoints the director in consultation with the head of the host department.*

5.2. Criteria and duration

Purpose, goals and added value

In addition to fulfilling the overall purpose of the centre specified in the Rules of procedure, a centre must have specified purposes and goals that can be assessed when applying for establishment, and that can provide the basis for follow-up and evaluation. The purpose and goals of the centre must clearly articulate the added value of conducting activities in the form of a centre. They explain how the centre promotes the University's mission in a way that could not be achieved within the framework of existing departments, units or centres.

Operational period

A centre has a defined period of operation, which is stated in the establishment decision. The period of operation normally runs for six years, unless an agreement with an external party or similar special reasons require another operational period.

5.3. Establishment

The centre is established following an application from the intended host department or unit. The relevant dean establishes centres that involve only stakeholders (departments or units) from the

⁵ Rules of procedure, Section 10.1.3.



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same faculty. In consultation with the relevant deans, the Vice-Chancellor establishes centres that include stakeholders from several faculties or that include external parties.

The application must include:

- The centre's name in Swedish and English and an acronym, if any.
- The centre's overall purpose, mission and vision, with a clear description of the value added by organising in the form of a centre and any differentiations from existing activities within the University.
- Concrete goals and how they will be followed up.
- Overall strategic plan and operational plan for the first three years.
- Financial plan and budget for the first three years.
- Participating staff at the start and plans for the future.
- Risk and impact assessment as specified in the Work Environment Act.
- Proposed instructions.
- Proposals for a director and members of the steering committee
- Written agreement or contract between participating departments, faculties and other parties.

A decision on a new establishment should be preceded by a request for comments within the University. If other faculties raise objections during the comment period for a centre that the dean intends to establish, the Vice-Chancellor is consulted before a decision is made.

The establishing body decides on the instructions for the centre.

5.4. The organisation

Stakeholders

A centre normally comprises several stakeholders. A stakeholder refers to a department or unit at Umeå University or an organisation outside Umeå University.

A centre can also include only one stakeholder (department) if its activities are directed externally with a scope and nature that justify being organised in the form of a centre.

Agreements and partnership contracts

If necessary, the participants within Umeå University can specify in a written agreement the commitments of the different stakeholders and the division of responsibility for various issues, such as staff, financing or premises.

For centres that include stakeholders outside Umeå University, the terms of the partnership must be regulated in agreements among the participating parties. The partnership contract is drawn up in consultation with a University legal officer.



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Host department

A centre requires a host department. The host department ensures that follow-up and evaluation follow regulations and other instructions from the establishing body.

If there are special reasons, the establishing body may decide that the tasks of the host department can instead be managed by a unit or other entity (such as an administrative office or faculty office). If a unit serves as the host, it is assumed that the unit is not relevant for reassessment in accordance with these rules during the centre's operational period.

Requests for a change of host department during the operational period are submitted to the establishing body.

Employees

A centre has no staff. Staff at Umeå University who are involved in the centre's activities are employed at a department or unit.

Management

A centre has a steering committee, with stakeholder representatives, that decides on the overall direction of the centre. A director is responsible for the day-to-day activities of the centre.

If necessary, the steering committee can be supplemented with a scientific council or a reference group, whose members are appointed by the steering committee.

Steering committee

The steering committee must have a diverse composition that enables it to have a holistic perspective on developing the centre and to provide the stakeholders with insight into and influence on the activities. Chapter 2, Section 6 of the Swedish Higher Education Act requires that a majority of the steering committee members have academic or artistic qualifications. The Vice-Chancellor may decide on an exemption from this rule if there are special reasons for this and if the section of the act does not apply to the centre in question.

After consultation with the relevant parties, the establishing body appoints members of the steering committee for a defined operational period that does not exceed six years. The director and a representative from the host department's leadership are part of the steering committee as full members or are co-opted, with the right to attend and speak at the steering committee's meetings.

Based on delegation or special circumstances, the steering committee can decide on the operational plan and budget within the framework specified in the establishment decision or in the agreements or arrangements made among the stakeholders. The steering committee monitors activities and operations and can decide on an annual report and adoption of financial statements.

The composition and assignments of the steering committee are regulated in the centre's instructions.



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Director

A centre has a director responsible for day-to-day activities.

The body establishing the centre appoints the director in consultation with the head of the host department or equivalent. When the Vice-Chancellor is the establishing body, consultation must take place with the relevant dean. The director is appointed for a defined operational period that does not exceed six years.

The director ensures that activities are conducted in accordance with current rules and guidelines at Umeå University and the centre's operational plan. The director takes charge of funds within the framework of an approved budget.

The director reports on the centre's activities and finances to the steering committee and the head of the host department or equivalent.

If the director is not employed at Umeå University, the director's assignment is regulated in a special provision.

5.5. Follow-up and evaluation

Annual follow-up

Unless the stakeholders have agreed otherwise, annual follow-up takes place in accordance with instructions from the faculty to which the host department belongs.

Mid-term evaluation and final evaluation

The centre is to be evaluated within six years of its establishment. The results of evaluations must be weighed before deciding on the continuation or discontinuation of the centre.

The head of the host department initiates the evaluation and reports it to the establishing body and relevant stakeholders.

The establishing body determines criteria and forms for the evaluation, including the possible participation of external reviewers. The evaluation must be submitted to the establishing body at least eight months before the end of the operational period.

The evaluation is based on the annual reports, supplemented by a self-assessment and with other documentation specified by the establishing body. If the centre's activities have been subject to evaluation in another system (for example, by an external funding body), this should be included as supporting documentation.

Unless otherwise stated in the establishment decision, the host department pays for the evaluation. The establishing body determines the consequences of the evaluation.



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New operational period

Any application for a new operational period needs to be received before the end of the current operational period.

Discontinuation

The establishing body decides on discontinuation and how it is to take place, ensures that a risk and impact assessment is conducted in accordance with the Work Environment Act, that the relevant administrative offices are notified and that necessary decisions are made because of the discontinuation.

If the established centre has not engaged in any activity for more than six months or has completely ceased its activities, the director is required to notify the establishing body.

6. Schools, academies and institutes

6.1. Provisions of the Rules of procedure⁶

- *A department, unit or centre may be designated a school, academy or institute (Sw. högskola) by the University Board to raise the profile of its activities and heighten interaction and collaboration with external parties.*
- *The Vice-Chancellor decides on the detailed rules for the designation of a school, academy or institute.*

6.2. Application

The responsible Faculty Board submits an application for designation as a school, academy or institute. The application must include:

- The name of the school or institute in Swedish and English and an acronym, if any.
- The purpose, mission and activities of the school, academy or institute, with a clear explanation of the added value of the designation as a school, academy or institute based on an analysis of trends and developments.

The application must be preceded by a comment period within the University.

6.3. Organisation and governance

Organisation and governance, including the naming of the school, academy or institute's leadership, follows what applies to the organisational entity applying for the designation, unless the Vice-Chancellor decides otherwise.

⁶ Rules of procedure, Section 10.1.4.



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7. Naming procedure

7.1 General

All entities need to have an English and a Swedish name. For new organisations and name changes, name proposals must be sent for comments to the Language Council, in accordance with previous Vice Chancellor decisions (reg. no Umu 103-1313-11). The establishing body is responsible for doing this.

7.2. English names for the University's basic units and their managers

English designations must use British English in accordance with a previous decision (reg. no. Umu 100-818-93). For example, the Swedish word *centrum* is translated as "centre" in English.

The basic units covered by this rule, and their managers, have the following names:

Organisational designation		Head of this level	
Swedish	English	Swedish	English
institution	department	perfekt	head of department
avdelning	section	avdelningschef	head of section
centrum	centre	föreståndare	director
styrgrupp (for a centre)	steering committee		
arbetsenhet	unit	föreståndare	director

Comments

The names are written in English with capitalisation of the significant parts of speech: for example, the Department of Food and Nutrition.

Departments

The English names of departments are formed with the preposition *of* and with initial capital letters: for example, the Department of Language Studies.

Section of a department



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The English name of sections of departments are formed with the preposition *of* and with initial capital letters: for example, the Section of Medicine.

The head of section (*avdelningschef*) can be expressed in running text as follows: Name Surname is head of the Section of Medicine.

Centres

English names for a centre generally are formed with the preposition *for* and with initial capital letters: for example, *the Centre for Regional Science*. Names can also be formed in other ways in consultation with the Language Council.

Unit

Unit is used as a common English designation for *arbetsenhet* in Swedish. However, the name of a particular unit does not have to include the word “unit” (or “arbetsenhet”).

Schools, academies and institutes

For entities that have been designated a school, academy or institute, an English name is decided on a case-by-case basis. For example, the designation can contain *school*, *academy* or *institute*.