

TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: 2019SE450153

Organisation under review: Lund University, Lund, Sweden

Organisation's contact details: Gunilla Thylander, HR Department, Lund University
(gunilla.thylander@hr.lu.se), +46 46 222 1503

SUBMISSION DATE: JUNE 18TH, 2020

DATE ENDORSEMENT CHARTER AND CODE: September 26th, 2019

GAP ANALYSIS

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

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>
---	--	--	---

Ethical and Professional Aspects

<p>1. Research freedom</p>	<p>++</p>	<p>National legislation The Swedish Higher Education Act (1992:1434), Chapter 1, § 6 The following general principles shall apply to research: 1. Research issues may be freely selected 2. Research methodologies may be freely developed 3. Research results may be freely published. The Freedom of Speech Act (1991:1469) The purpose of freedom of expression under this Act is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation. The Freedom of Press Act (1949:105) The right of every Swedish citizen to publish written matter, without prior hindrance by a public authority or other</p>	<p>Organisational regulation Strategic Plan 2017-2026 (STYR 2017/812) Lund University stands behind the basic core values on which European universities agreed in the Magna Charta Universitatum: academic freedom, autonomy, to defend freedom, integrity and quality of education and research. The core values are also based in the laws which a Swedish public authority is obliged to follow. Research Strategy 2017-2021 (F2016/223) States the adherence to the core values expressed in the Strategic Plan. It also vows to safeguard research independence and continuously maintain the discussion of research ethics in relation to collaborations with the society.</p>
----------------------------	-----------	--	--

		<p>public body, and not to be prosecuted thereafter on grounds of its content other than before a lawful court.</p> <p>Act (1976:580) on Co-determination in the workplace Describes employee rights to information about the workplace.</p> <p>The Common basic values for central governmental employees – a summary (S2014.021).</p>	<p>Policy on open access publication at Lund University (LS 2013/729) Lund University strives to spread knowledge of its research and research findings to a wide audience in accordance with the Berlin Declaration on Open Access. At the same time, the University defends the freedom of the researcher to choose the publication format and channel.</p>
2. Ethical principles	+/-	<p>National legislation Ordinance with instructions for the Ethics Review Authority (SFS 2018:1879) (SWE) In Sweden, certain types of research must, by law, undergo ethical review before the research is allowed to start, carried out by the Swedish Ethical Review Authority.</p> <p>The Act concerning the Ethical Review of Research Involving Humans (2003:460) (SWE) The purpose of the Act is to protect both the individual, and the respect for human dignity in research.</p> <p>Animal Welfare Act (2018:1192) The purpose of this Act is to ensure good animal welfare and promote good animal well-being and respect for animals.</p> <p>Higher Education Ordinance (1993:100) Chapter 1 Section 16-18: “Advice and support relating to good research practice” and “Management of suspected deviations from good research practice”</p> <p>Act on responsibility for good research practice and the examination of research misconduct (2019:504)</p> <p>The General Data Protection Act (2018:218) (SWE)</p>	<p>Organisational regulation Strategic Plan 2017 – 2026 (STYR 2017/812) Research shall be conducted in dynamic and well-organised environments and on an ethical basis.</p> <p>Guidelines for the processing of matters relating to suspected deviation from good research practice at Lund University (STYR 2019/855)</p> <p>Regulations regarding animal-based research outside Sweden’s borders for researchers at Lund University (STYR 2015/742)</p> <p>Mandatory training in research ethics for doctoral students (STYR 2018/1024) (see point 9, SWE). The decision will be included in the Regulations for doctoral education at Lund University (STYR 2018/562). The training courses start 1 January 2021</p> <p>Organisational resources Lund University Ethics Council (SWE) The council aims to stimulate discussion and debate on ethical issues, and to promote knowledge development in the field of ethics.</p> <p>Ethics support for researchers</p>

		<p>Patient Data Act (2008:355) (SWE)</p> <p>Medicines Act (2015:315) (SWE)</p> <p>National and European resources The board for examination of research misconduct (SWE)</p> <p>Codex CODEX is operated by the Swedish Research Council with the aim to give researchers access to and information on the guidelines, ethics codes and laws that regulate and place ethical demands on the research process.</p> <p>The Swedish Research Council is an agency under the Ministry of Education and Research. It is the primary source for research funding and is thereby a strong driving force of Swedish research quality and ensuring compliance to legal and ethical obligations.</p> <p>ALLEA: The European Code of Conduct for Research Integrity</p> <p>Swedish Ethical Review Authority (SWE)</p> <p>The Swedish National Council on Medical Ethics is an advisory board to the Swedish government and parliament on ethical issues raised by scientific and technological advances in biomedicine</p> <p>Oviedo Convention Convention for Human Rights and Biomedicine.</p> <p>Declaration of Helsinki ethical principles for medical research involving human subjects.</p>	<p>Consults on research ethics regulations, informative web page</p> <p>Deviations from good research practice Web information on how deviations from good research practice are handled by the national board as well as internally.</p> <p>GAP identified: See action 1 and 2 in the LU HRS4R Action Plan.</p>
--	--	--	--

<p>3. Professional responsibility</p>	<p>+/-</p>	<p>National legislation The Swedish Higher Education Act (1992:1434) 1 Ch § 3a In the course of their operations, higher education institutions shall uphold academic credibility and good research practice.</p> <p>The Higher Education Ordinance (1993:100) 1 Ch 16 Responsibility to investigate suspected misconduct in research, artistic research or development work at the institution.</p> <p>The Administrative Procedure Act (1986:223) This Act applies to the handling of matters by administrative authorities (e.g. public universities).</p> <p>Act on responsibility for good research practice and the examination of research misconduct (2019:504)</p> <p>National and international resources The board for examination of research misconduct (SWE)</p> <p>Co-authorship: Lund University strives to follow the recommendation in the Vancouver Convention and ALLEA: The European Code of Conduct for Research Integrity as regards co-authorship.</p> <p>The Common basic values for central governmental employees – a summary (S2014.021).</p> <p>The Administrative Procedure Act (2017: 900) . Specifies how administrative authorities (such as universities) shall handle issues.</p>	<p>Organisational regulation Strategic Plan 2017 – 2026 (STYR 2017/812) Lund University shall work to develop active and responsible collegiality.</p> <p>Guidelines for the processing of matters relating to suspected deviation from good research practice at Lund University (STYR 2019/855)</p> <p>Guidelines and regulations on plagiarism and deceitful plagiarism in first-, second- and third-cycle education at Lund University (LS 2010/722) Third-cycle education is the doctoral education.</p> <p>Lund University's regulation on secondary employment (STYR 2018/2104) The secondary employment may not compromise the credibility, scope or quality of the public authority's activities.</p> <p>Policy on financial conflicts of interest related to research funded by the United States (STYR 2017/752) Reporting and management of significant financial interest in relation to research activity within employment.</p> <p>Regulations on the establishment of research representatives at Lund University (STYR 2019/785) The research representative (ombudsman) is to provide independent advice and support to employees e.g. concerning publication, author responsibility or research collaboration.</p> <p>Organisational Resources Lund University Ethics Council (SWE)</p>
---------------------------------------	------------	---	---

			<p>The council aims to stimulate discussion on ethical issues, and to promote knowledge development in the field of ethics.</p> <p>Ethics support for researchers Consults on research ethics regulations, informative web page</p> <p>Deviations from good research practice Web information on how deviations from good research practice is handled by the national board as well as internally.</p> <p>GAP identified: See action 2 in the LU HRS4R Action Plan.</p>
4. Professional attitude	+/-	<p>National legislation The Swedish legislation embraces ethical and professional expectations in a number of laws and regulations, referred to in this document under each paragraph, and thus set the frames for each researcher's personal accountability. Examples are:</p> <p>The Act (2003:460) concerning the Ethics review of research involving humans (SWE)</p> <p>The General Data Protection Act (2018:218) (SWE)</p> <p>Patient Data Act (2008:355) (SWE)</p> <p>Medicines Act (2015:315) (SWE)</p> <p>The Act (2002:297) on biobanks in the health service (SWE)</p> <p>The Swedish Radiation Safety Authority (SWE)</p>	<p>Organisational regulation Strategic Plan 2017 – 2026 (STYR 2017/812)</p> <p>Rules of procedure for Lund University (STYR 2019/1903)</p> <p>Rules on the allocation of decision-making powers at Lund University (STYR 2019/1540)</p> <p>Organisational Resources Management and Leadership development Professional development for those in management and leadership positions at Lund University is offered in the form of a number of courses and programmes.</p> <p>Research Services A support function available for researchers, administrators and management</p>

		<p>The Common basic values for central governmental employees – a summary (S2014.021).</p>	<p>Ethics support for researchers Consults on research ethics regulations, informative web page</p> <p>GAP identified: See action 2 in the LU HRS4R Action Plan.</p>
5. Contractual and legal obligations	+/-	<p>National legislation Act (1960:729) on Copyright in Literary and Artistic Work (SWE)</p> <p>The Patent Act (1967:837) (SWE)</p> <p>Act (1949:345) on the Right to Employee Inventions (SWE)</p> <p>Design Protection Act (1970:485) (SWE)</p> <p>The Trademark Act (2010:1877) (SWE)</p> <p>The Trade Names Act (1974:156) (SWE)</p> <p>Act (1992:1685) on the protection of topographies of semiconductor products (SWE)</p> <p>The Plant Breeder's Rights Act (1997:306) (SWE)</p> <p>The Names Act (1982:670) (SWE)</p> <p>The Swedish Higher Education Act (1992:1434), Chapter 1 §6</p> <p>The General Data Protection Act (2018:218) (SWE)</p> <p>The Common basic values for central governmental employees – a summary (S2014.021).</p>	<p>Organisational regulation Lund University's regulation on secondary employment (STYR 2018/2104) The secondary employment is important but must not compromise the credibility, scope or quality of the public authority's activities. It must be reported once a year.</p> <p>General recommendations on Lund University's right to use copyrighted material (STYR 2015/542)</p> <p>Organisational resources Management and leadership development Professional development for those in management and leadership positions at Lund University is offered in the form of a number of courses and programmes.</p> <p>Personal data and data protection Webpage with information, training, and support</p> <p>System for Data Management Plans</p> <p>Legal Division A support function available for researchers</p> <p>Research Services A support function available for researchers, administrators and management</p>

			<p>University Library Research Support A support function available for researchers</p> <p>GAP identified: See action 2 in the LU HRS4R Action Plan.</p>
6. Accountability	++	<p>National legislation The Swedish Higher Education Act (1992:1434) Ch 1 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.</p> <p>Internal Audit Ordinance (2006:122), §§ 1 and 2 (SWE)</p> <p>Act containing Instructions for the Swedish National Audit Office (2002:1023) The Swedish National Audit Office conducts financial and performance audits on government authorities.</p>	<p>Organisational regulation Rules of procedure for Lund University (STYR 2019/1903)</p> <p>Guidelines for the processing of matters relating to suspected deviation from good research practice at Lund University (STYR 2019/855)</p> <p>Lund University's regulation on secondary employment (STYR 2018/2104). The secondary employment may not compromise the credibility, scope or quality of the public authority's activities.</p> <p>Policy on financial conflicts of interest related to research funded by the United States (STYR 2017/752) Reporting and management of significant financial interest in relation to research activity within employment.</p> <p>Mandatory training in research ethics for doctoral students (STYR 2018/1024) (see point 9, SWE). The decision will be included in the Regulations for doctoral education at Lund University (STYR 2018/562). The training courses start 1 January 2021</p> <p>Policy on open access publication at Lund University (LS 2013/729)</p>

			<p>Organisational resources Personal data and data protection Webpage with information, training, and support</p> <p>Open Science A university-wide project to strengthen work on Open Science</p> <p>Management and leadership development Professional development for those in management and leadership positions at Lund University is offered in the form of a number of courses and programmes</p>
7. Good practice in research	+/-	<p>National legislation Work Environment Act (1977:1160) (SWE) Comprise general provisions regarding work environment. A fundamental principle is that work should be adapted to the physical and psychological situation of the employee. The Act also regulates co-operation between employer and employee.</p> <p>The General Data Protection Regulation (2018:218) (SWE)</p> <p>Archives Act (1990:782) (SWE)</p> <p>Public Access to Information and Secrecy Act (2009:400) (SWE)</p> <p>National and international resources Co-authorship: Lund University strives to follow the recommendation in the Vancouver Convention and ALLEA: The European Code of Conduct for Research Integrity as regards co-authorship.</p>	<p>Organisational regulation Policy on open access publication at Lund University (LS 2013/729)</p> <p>Organisational Resources Personal data and data protection Web information, training, and support</p> <p>Research Data University library web information and support</p> <p>System for Data Management Plans</p> <p>GAP identified: See action 2 in the LU HRS4R Action Plan.</p>

<p>8. Dissemination, exploitation of results</p>	<p>+/-</p>	<p>National legislation The Swedish Higher Education Act (1992:1434), Chapter 1, §§ 2 and 3 The role of the universities shall include conducting third stream activities and providing information about their operations, as well as taking actions to ensure that benefit is derived from research findings at the university.</p> <p>Act (1949:345) on the right to Employee Inventions (SWE) Academic staff at Swedish universities are given the rights to their own research results through the "Teachers' exemption" i.e. the exemption from employers' rights to their employees' patentable inventions.</p>	<p>Organisational regulation Strategic Plan 2017 – 2026 (STYR 2017812) Research findings shall be made openly accessible.</p> <p>Research Strategy 2017-2021 (F2016/223) To take on present and future challenges and contribute to a strong innovation environment with links to companies and to public healthcare and other public sector organisations.</p> <p>Policy on open access publication at Lund University (LS 2013/729)</p> <p>Lund University's regulation on secondary employment (STYR 2018/2104)</p> <p>Organisational Resources Research Portal (LUCRIS) Database with researchers, research outputs (e.g. publications), projects, infrastructures and units at Lund University</p> <p>LU Innovation LU Innovation provides support to students and researchers with business ideas and research findings that can be converted into innovations.</p> <p>Legal counsel A legal support function available for researchers</p> <p>External engagement council (SWE) A forum for identification and development of collaborations and engagement outside the university, supported by the Cooperation Office</p> <p>Communicate your research</p>
--	------------	---	---

			<p>Webpages with advice on how to Communicate your research to wider society</p> <p>Open Science A university-wide project to strengthen work on Open Science</p> <p>GAP identified: See action 3 in the LU HRS4R Action Plan.</p>
9. Public engagement	+/-	<p>National legislation The Swedish Higher Education Act (1992:1434) Ch 1, §§ 2-3 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. Ch 6, § 33 The doctoral thesis shall be presented and defended orally in public. A faculty examiner (opponent) shall be appointed for this presentation</p>	<p>Organisational regulation Strategic Plan 2017 – 2026 (STYR 2017812) Active collaboration with the public sector, cultural sector, community life, business and industry and alumni shall be further developed and facilitated.</p> <p>Lund University's regulation on secondary employment (STYR 2018/2104) These rules exist to increase the University teaching staff's opportunities for external engagement to the benefit of society.</p> <p>Organisational resources Research Portal (LUCRIS) Database with researchers, research outputs (e.g. publications), projects, infrastructures and units at Lund University</p> <p>Open Science A university-wide project to strengthen work on Open Science.</p> <p>External engagement council (SWE) A forum for identification and development of collaborations and engagement outside the university, supported by the Cooperation Office.</p>

			<p>Communicate your research Webpages with advice on how to Communicate your research to wider society</p> <p>Examples of Public Engagement (SWE)</p> <ul style="list-style-type: none"> - Debate in Lund - Göteborg Book Fair - Vattenhallen Science Centre - School visits - Future week - Researcher Grand Prix <p>GAP identified: See action 3 in the LU HRS4R Action Plan.</p>
10. Non discrimination	+/-	<p>National legislation The Discrimination Act (2008:567) (SWE) The Act's purpose is to counteract discrimination and in other ways promote equal rights and opportunities regardless of sex, gender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age.</p> <p>National resources The Equality Ombudsman is a government agency that promote equal rights and opportunities and combat discrimination.</p> <p>The Swedish Secretariat for Gender Research is a central actor in the area of gender research and gender equality since 1998, carrying out assignment on behalf of several national, Nordic and European actors. The secretariat is commissioned by the Swedish government to support all state funded higher education institutions in their gender mainstreaming efforts 2016-2019.</p> <p>Swedish Gender Equality Agency</p>	<p>Organisational regulation Lund University Policy for Gender Equality, Equal Opportunities and Diversity (PE 2011/177)</p> <p>New procedure to increase gender equality in the recruitment of professors (STYR 2016/1133) Aims to ensure as far as possible that, when recruiting a professor, there are competent applicants of both sexes before a case goes on to external experts.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 6: To develop the active preventive and systematic management of gender equality and equal opportunities issues.</p> <p>Admission rules for doctoral education at Lund University (STYR 2017/409)</p>

		<p>The Swedish Gender Equality Agency is in charge of two development programmes supporting Swedish higher education institutions in their gender mainstreaming work.</p>	<p>In recruiting and selecting doctoral students for a doctoral programme, an even gender balance and diversity shall be sought in accordance with Lund University's gender equality, equal opportunities and diversity policy.</p> <p>Organisational resources Handling and investigating cases of harassment and sexual harassment In addition to the Discrimination Act, this support material is based on e.g. recommendation from the Equality Ombudsman.</p> <p>GAP identified: See action 4 in the LU HRS4R Action Plan.</p>
11. Evaluation/ appraisal systems	+/-	<p>National legislation Internal Audit Ordinance (2006:122), 1 and 2 §§ (SWE) Ordinance (2007:603) on Internal Control (SWE)</p> <p>National resources The Swedish Higher Education Authority (UKÄ) <ul style="list-style-type: none"> - UKÄ performs evaluation of the quality of education, including third-cycle education, in accordance with the national system for quality assurance of higher education. - Higher education institutions are required to have systematic quality assurance processes. UKÄ is responsible for assessing these. The Swedish Research Council (VR) is an agency within the Ministry of Education and Research. It has a leading role in developing Swedish research of the highest scientific quality and conducts various types of evaluations of research, both evaluations of research topics and</p>	<p>Organisational regulation Decision on staff appraisals (PE 2013/750) The staff appraisals is an annual structured work-related dialogue between the line manager and the employee, which provides an opportunity for planning the following year, and a transparent and predictable assessment for the previous year. At the staff appraisal, the individual's goals and need for professional development are to be specified. These are to be linked to the goals of the organisation.</p> <p>Regulations for doctoral education at Lund University (STYR 2018/562) §12.2 Grading of doctoral thesis: The doctoral thesis shall be graded by an examining committee appointed by the faculty board. At least one in the committee should not hold a post at Lund University</p>

		<p>evaluations of governmental initiated research efforts. Focus of the evaluation are set on the scientific quality, though aspects such as strategic management at the university level and research impact may occur.</p> <p>The Association of Swedish Higher Education Institutions (SUHF)</p> <p>ALF, an agreement between national government and seven regions that addresses medical education and training clinical research and the development health and medical care is under evaluation by the Swedish Research Council.</p>	<p>Policy for quality assurance and quality enhancement of education at Lund University (STYR 2016/179)</p> <p>The policy describes Lund University's coherent system for quality assurance and quality enhancement of the University's courses and study programmes, including third-cycle studies</p> <p>Organisational resources RQ20 – Research quality evaluation (SWE) A vice-chancellor decision (STYR 2019/335) on a self-initiated university-wide research quality evaluation based on self-evaluations. It will involve around 5 000 members of staff, external panels. RQ20 blog with information, document, project organisation etc.</p> <p>Research Portal (LUCRIS) Database with researchers, research outputs (e.g. publications), projects, infrastructures and units at Lund University</p> <p>GAP identified: Prioritised in next implementation phase.</p>
Recruitment and Selection			
12. Recruitment	+/-	<p>National legislation The Instrument of Government Ch 11, Sec 9 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 (SWE) When making appointments only objective factors such as service merits and competence shall be taken into account.</p>	<p>Organisational regulation Strategic Plan (STYR 2017/812) Education and research are to be intertwined. Diversity in education and research shall be reinforced through widening participation.</p> <p>Lund University Appointment Rules (STYR 2019/1077) 3.1 Academic staff at Lund University refers to:</p>

		<p>Competence shall be a primary consideration, unless specific reasons otherwise exists.</p> <p>The Swedish Higher Education Act (1992:1434) In accordance with Ch. 2 Section 2 of the Swedish Higher Education Ordinance, boards of governors of higher education institutions shall establish an appointment procedure. The appointment procedure shall be accompanied by supplemental instructions to be decided on by the Vice-Chancellor.</p> <p>The Higher Education Ordinance (1993:100)</p> <p>The Discrimination Act (2008:567) (SWE)</p> <p>Act (1976:580) on co-determination at Work § 8 (SWE)</p> <p>Ordinance (1984:819) on State registrations</p>	<ul style="list-style-type: none"> ○ professor ○ visiting professor ○ adjunct professor ○ post-retirement professor ○ senior lectures ○ adjunct senior lectures ○ associate senior lectures ○ Postdoc ○ Lectures, and ○ adjunct lectures <p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff This recruitment procedure applies to the recruitment of research staff who are appointed in accordance with the Swedish Employment Protection Act. It refers to researchers not involved in teaching.</p> <p>Regulations on the procedure preceding the Vice-Chancellor's decision to nominate an individual for appointment as professor (STYR 2015/137) The nomination procedure is to be used restrictively and aims to facilitate and speed up the recruitment of prominent international researchers. The procedure is to be used as a tool for strategic recruitments. The nomination procedure should also be used as a strategic instrument for attaining a more equal gender distribution.</p> <p>Lund University Policy for Gender Equality, Equal Opportunities and Diversity (PE 2011/177)</p> <p>New procedure to increase gender equality in the recruitment of professors (STYR 2016/1133)</p>
--	--	---	---

			<p>Aims to ensure as far as possible that, when recruiting a professor, there are competent applicants of both sexes before a case goes on to external experts.</p> <p>Admission rules for doctoral education at Lund University (STYR 2017/409)</p> <p>3. Funding for doctoral education. At Lund University, doctoral studentship are the primary method of funding doctoral education.</p> <p>5. Admission requirements The general admission requirements for doctoral education according to Ch. 7 Sec. 39 HEO are:</p> <ul style="list-style-type: none"> • a second-cycle degree • completed course requirements of at least 240 credits, of which at least 60 credits were awarded in the second cycle, or • substantially equivalent knowledge obtained in some other way in Sweden or abroad <p>6. Selection Selection from among applicants who meet the general admission requirements shall be made on the basis of their ability to benefit from the programme. The University decides what assessment criteria shall be made on the basis of their ability to benefit from the programme.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 2: To develop the work on recruitment, and to ensure that all recruitment processes carefully take</p>
--	--	--	--

			<p>account of principles and rules on equal treatment, objectivity and transparency.</p> <p>GAP identified: See action 5 in the LU HRS4R Action Plan.</p>
13. Recruitment (Code)	+/-	<p>National legislation The Instrument of Government Ch 12, Sec 9 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 Higher Education Ordinance (1993:100) According to the Higher Education Ordinance (SFS 2010:1064) Ch 2, § 2, the University Board shall set employment regulations that the university applies together with the rules of appointment and promotion of teachers.</p> <p>Employment Ordinance (SFS 1994:373) (SWE)</p> <p>The Freedom of Press Act (1949:105) Chapter 2.</p> <p>The Public Employment Act (1994:260) § 4 (SWE)</p> <p>The Discrimination Act (2008:567) (SWE)</p>	<p>Organisational regulation Lund University Appointment Rules (STYR 2019/1077) 2. General principles and rules on recruitment and appointments. Processes linked to appointments and promotion shall observe principles and rules regarding equal treatment, objectivity and transparency. In decisions on appointments, consideration is only to be given to objective grounds, such as merit and expertise, and in preparation issues concerning conflict of interest are to be carefully considered.</p> <p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff See principle 12.</p> <p>Admission rules for doctoral education at Lund University (STYR 2017/409) The Higher Education Ordinance stipulates that higher education institutions shall ensure that an individual who intends to begin a programme of study has access to the information about the programme that is necessary (Ch. 6 Section 3 HEO). Good, clear and comprehensive information about the programme and the admissions process shall be readily available on the university website.</p> <p>Lund University Policy for Gender Equality, Equal Opportunities and Diversity (PE 2011/177)</p>

			<p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 2: To develop the work on recruitment, and to ensure that all recruitment processes carefully take account of principles and rules on equal treatment, objectivity and transparency.</p> <p>Organisational resources Varbi – Work at Lund University</p> <p>All types of employments at Lund University are handled through the web-based recruitment system Varbi. In the recruitment system, we use templates for the advertisements to ensure a uniform appearance. The system makes the recruitment procedures open and efficient.</p> <p>GAP identified: See action 5 in the LU HRS4R Action Plan.</p>
14. Selection (Code)	+/-	<p>National legislation The Swedish Higher Education Act (1992:1434)</p> <p>The Higher Education Ordinance (1993:100)</p>	<p>Organisational regulation Rules of procedure for Lund University (STYR 2019/1903)</p> <p>5. Student influence at Lund University Students at Lund University shall have the right to appoint representatives to preparatory and decision-making bodies and shall be represented in the processing of human resources matters that are regulated in the appointment rules.</p> <p>Lund University Appointment Rules (STYR 2019/1077)</p> <p>5.2 Preparatory bodies</p>

			<p>Each faculty is to have at least one academic appointments board.</p> <p>5.3.2 External experts assessments and statements At Lund University there is a stipulation that external expert assessment concerning an applicant's expertise is to be obtained from at least one external expert if it comes to:</p> <ul style="list-style-type: none"> • appointment of a professor (including an adjunct professor and a visiting professor whose expertise has not already been proven), • appointment of a senior lecturer, • appointment of an associate lecturer, • promotion to employment as professor, and • promotion to employment as senior lecturer. <p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff The focus shall be on merit and skill and candidates are primarily selected who fulfil the requirements in the vacancy announcement. It is good if the whole recruitment group (recruiting manager, HR officer and possible specialist) reads and assesses the applications.</p> <p>Admission rules for doctoral education at Lund University (STYR 2017/409)</p> <p>6. Selection Selection from among applicants who meet the general admission requirements shall be made on the basis of their ability to benefit from the programme. The university decides what assessments criteria shall be used in determining</p>
--	--	--	--

			<p>the ability to benefit from the programme (Ch. 7 Sec. 41, 1-2 §, HEO).</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 2: To develop the work on recruitment, and to ensure that all recruitment processes carefully take account of principles and rules on equal treatment, objectivity and transparency.</p> <p>GAP identified: See action 7 in the LU HRS4R Action Plan.</p>
15. Transparency (Code)	+/-	<p>National legislation</p> <p>The Swedish Higher Education Act (1992:1434)</p> <p>The Higher Education Ordinance (1993:100) According to the Higher Education Ordinance (SFS 2010:1064) Ch 2, § 2, point 9, the University Board shall set employment regulations that the university applies together with the rules of appointment and promotion of teachers.</p> <p>Employment Ordinance (SFS 1994:373) (SWE)</p> <p>Ordinance (1984:819) on State registrations (SWE)</p> <p>Public Access to Information and Secrecy Act (2009:400) (SWE)</p>	<p>Organisational regulation</p> <p>Lund University Appointment Rules (STYR 2019/1077)</p> <p>5. Recruitment process and preparation of appointment and promotion matters.</p> <p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff</p> <p>The job description is the basis for the vacancy announcement and is a guide for the entire recruitment process.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 2: To develop the work on recruitment, and to ensure that all recruitment processes carefully take account of principles and rules on equal treatment, objectivity and transparency.</p>

			<p>Organisational resources Varbi – Work at Lund University All types of employments at Lund University are handled through the web-based recruitment system Varbi. In the recruitment system, we use templates for the advertisements to ensure a uniform appearance. The system makes the recruitment procedures open and efficient, directly connected to LU websites.</p> <p>Anyone is entitled to request documents and applications from all recruitment processes, including expert assessments and decision protocol, in accordance with Swedish legislation.</p> <p>All employment decisions are publicly available at Lund University.</p> <p>GAP identified: See action 5 in the LU HRS4R Action Plan.</p>
16. Judging merit (Code)	+/-	<p>National legislation The Instrument of Government The Public Employment Act (1994:260) § 4 (SWE) The Higher Education Ordinance (1993:100) Ch 4</p>	<p>Organisational regulation Lund University Appointment Rules (STYR 2019/1077) 5.1 The appointment's specialisation, person specification and information on vacancies (vacancy announcement) The preparatory process shall follow the same rules in appointment and promotion matters. Decisions on publishing a vacancy announcement shall be based on strategic and overall planning regarding recruitment and talent management. Once a recruitment need has been established, a decision shall be made on the position's specialisation, person specification and on vacancy announcement.</p>

			<p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff The selection of a candidate should be based on what is stated in the job description and vacancy announcement. It is important to define which qualifications are required and which are desirable.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 2: To develop the work on recruitment, and to ensure that all recruitment processes carefully take account of principles and rules on equal treatment, objectivity and transparency.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
17. Variations in the chronological order of CVs (Code)	+/-	<p>National legislation The Instrument of Government Ch 12, § 5 The Public Employment Act (1994:260) § 4. (SWE) For employment attention shall be paid only to objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. Employment Ordinance (SFS 1994:373) (SWE)</p>	<p>Organisational resources Varbi – Work at Lund University In the recruitment system Varbi there are standardised forms to use for the applicants, however applicants have the possibility to submit their own applications and CV's, leaving them great freedom to express their experience in their own way.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
18. Recognition of mobility experience (Code)	+/-	<p>National legislation The Instrument of Government Ch 12, § 5</p>	<p>Organisational regulation Strategic plan (STYR 2017/812)</p>

		<p>The Public Employment Act (1994:260) § 4 (SWE) For employment attention shall be paid only to objective factors such as merit and skill. Skills must be foremost, unless there are specific reasons for doing otherwise.</p> <p>Employment Ordinance (SFS 1994:373) (SWE) 4-5 §§: Assessments grounds for employment. 6-8 §§: Procedures for employment.</p>	<p>Continued development as an international university</p> <ul style="list-style-type: none"> • There shall be good opportunities for international mobility for students and staff. • The University shall be attractive to international students and staff. • The University shall have strategically supported international partnership and take an active part in influential networks, such as LERU and U21. <p>Lund University Appointment Rules (STYR 2019/1077) 5.1 The appointment's specialisation, person specification and information on vacancies (vacancy announcement). In order to promote gender equality and diversity and to facilitate mobility and recruitment of international expertise positions shall as a rule be advertised internationally.</p> <p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff See principle 16.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 2: To develop the work on recruitment, and to ensure that all recruitment processes carefully take account of principles and rules on equal treatment, objectivity and transparency. Principle 7: To develop Lund University as an international higher education institution, and to ensure that</p>
--	--	---	---

			<p>there is an international perspective in all activities and that the University is attractive to and inclusive of international employees.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
19. Recognition of qualifications (Code)	+/-	<p>National legislation The Instrument of Government Ch 12, § 5 and The Public Employment Act (1994:260) § 4 (SWE) For employment attention shall be paid only to objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise.</p> <p>The Higher Education Ordinance (1993:100) According to the Higher Education Ordinance (SFS 2010:164) Ch 2, § 2, the University Board shall set employment regulations that the university applies together with the rules of appointment and promotion of teachers.</p>	<p>Organisational regulation Lund University Appointment Rules (STYR 2019/1077) 4. Qualification requirements, assessment criteria and training in teaching and learning in higher education.</p> <p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff It is important to define which qualifications are required and which are desirable. To avoid the risk of discrimination, it is also important to think about whether the requirements are objectively based on the work duties.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 2: To develop the work on recruitment, and to ensure that all recruitment processes carefully take account of principles and rules on equal treatment, objectivity and transparency.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
20. Seniority (Code)	++	National legislation	Organisational regulation

		<p>The Instrument of Government, Ch. 11, § 9</p> <p>The Higher Education Ordinance (1993:100)</p> <p>The Public Employment Act (1994:260) § 4 (SWE)</p> <p>The Swedish Higher Education Act (1992:1434)</p> <p>Collective Agreement for Post doc positions (SWE)</p> <p>The Discrimination Act (2008:567) (SWE)</p>	<p>Lund University Appointment Rules (STYR 2019/1077)</p> <p>4.3 Qualification requirements, assessments criteria and conditions for different teaching positions.</p> <p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff</p> <p>It is important to define which qualifications are required and which are desirable. To avoid the risk of discrimination, it is also important to think about whether the requirements are objectively based on the work duties.</p> <p>Lund University Policy for Gender Equality, Equal Opportunities and Diversity (PE 2011/177)</p> <p>3. Recruitment and promotion</p> <p>Assessments based on skills and experience shall form the basis for recruitment and promotion and entail strategic human resources planning with active gender equality targets.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 2:</p> <p>To develop the work on recruitment, and to ensure that all recruitment processes carefully take account of principles and rules on equal treatment, objectivity and transparency.</p>
21. Postdoctoral appointments (Code)	++	<p>National legislation</p> <p>Employment Protection Act (1982:80) LAS § 5 (SWE)</p> <p>Collective Agreement for Post doc positions (SWE)</p>	<p>Organisational regulation</p> <p>Lund University Appointment Rules (STYR 2019/1077)</p> <p>4.3.8 Postdoc</p> <p>According to the collective agreement postdoc refers to an employee who primarily conducts research. Teaching may also be included in the</p>

			<p>duties, but only up to a maximum of one-fifth of working hours.</p> <p>Guidelines for recruiting researcher (not involved in teaching) and technical and administrative staff See principle 12.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 3: To use career development positions – in particular associate senior lecturer positions, but also postdoctoral positions – to a large extent, and as a clear step in a coherent academic careers system. Principle 4: To reduce the use of researcher positions significantly with the aim of avoiding them as far as possible, in particular researcher positions for an indefinite term and part-time researcher positions with a low number of working hours.</p>
Working Conditions and Social Security			
22. Recognition of the profession	+/-	<p>National legislation The Swedish Higher Education Act (1992:1434) Ch 1, §6 and Ch 2, §6 Collective agreement (SWE)</p>	<p>Organisational regulation Lund University Appointment Rules (STYR 2019/1077) 1. Introduction Lund University’s strategic plan for 2017-2026 is based on fundamental academic values such as autonomy and academic freedom. The plan states that education and research are to strive for the highest quality and to be intertwined.</p> <p>Local agreement on working hours for teaching staff at Lund University</p>

			<p>The working hours for teaching staff are to be arranged in such way as to enable high quality education and research and to allow the organisation to develop and change according to its needs and the demands placed on it. The present agreement also aims to create good working conditions for the University's teaching staff.</p> <p>Local collective agreement on working hours for associate senior lectures (PE 2013/363) Supplement to the above agreement.</p> <p>Admission rules for doctoral education at Lund University (STYR 2017/409) 3.1.1. At Lund University, doctoral studentship are used as the primary form of funding for doctoral education, but use of external scholarship is also permitted – i.e. scholarships established by an organisation other than Lund University.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
23. Research environment	+/-	<p>National legislation</p> <p>The Work Environment Act (SFS 1977:1160) (SWE)</p> <p>The Work Environment Ordinance (SFS 1977:1166) (SWE)</p> <p>The Discrimination Act (2008:567) (SWE)</p> <p>Social Insurance Act (SFS 2010:110) (SWE)</p> <p>Flammable and Explosive Goods Act (SFS 2010:1011) (SWE)</p> <p>Flammable and Explosive Goods Ordinance (SFS 2010:1075) (SWE)</p>	<p>Organisational regulation</p> <p>Strategic plan (STYR 2017/812) Education and research are to be intertwined Research shall be conducted in dynamic and well-organised environments and on an ethical basis. It shall be founded on critical thinking and reflection while allowing risks to be taken. Research findings shall be made openly accessible. Achieving the quality goals in education and research requires infrastructure and a support organisation which are fit for purpose.</p> <p>Research Strategy Lund University (STYR 2016/223)</p>

		<p>Protection against Accidents Act (SFS 2003:778) (SWE)</p> <p>Protection against Accident Ordinance (SFS 2003:789) (SWE)</p> <p>The Environment Code (SFS 1988:808) (SWE)</p> <p>Parental Leave Act (SFS 1995:584) (SWE)</p>	<p>Lund University is to promote risk-taking and multidisciplinary research of the highest quality. While research within the University should contribute to solutions to global challenges facing contemporary society, the basic principles of academic freedom and the importance of fundamental research must be emphasized. Our researchers should work in an environment optimal for creative and ground-breaking research in all fields.</p> <p>Work Environment Policy for Lund University (STYR 2018/2030)</p> <p>Organisational resources Work environment The objective of Lund University's work environment management is to create an environment that you find rewarding and stimulating. Consideration of the work environment and safety is to be integrated into everything we do and form a natural part of all operational planning.</p> <p>Support in the research process</p> <p>GAP identified: See action 4 in the LU HRS4R Action Plan.</p>
24. Working conditions	+/-	<p>National legislation The Work Environment Act (SFS 1977:1160) (SWE) The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment.</p> <p>The Work Environment Ordinance (SFS 1977:1166) (SWE)</p>	<p>Organisational regulation Local agreement on working hours for teaching staff at Lund University Management at all levels, employed teaching staff, other staff and the employee organisations share the task of achieving a favourable work situation and a good work environment.</p>

		<p>The Discrimination Act (2008:567) (SWE)</p> <p>The Public Employment Act (1994:260) § 4 (SWE) Regulates the employment for most of those working in government service and in the municipality and county council.</p> <p>Social Insurance Act (SFS 2010:110) (SWE)</p> <p>Flammable and Explosive Goods Ordinance (SFS 2010:1075) (SWE)</p> <p>Protection against Accidents Act (SFS 2003:778) (SWE)</p> <p>Protection against Accident Ordinance (SFS 2003:789) (SWE)</p> <p>The Environment Code (SFS 1988:808) (SWE)</p> <p>Parental Leave Act (SFS 1995:584) (SWE)</p>	<p>Local agreement on working hours for associate senior lecturers (PE 2013/363) Supplement to the above agreement</p> <p>Working hours Technical and administrative staff are normally covered by the flexible time agreement and get a day off on 'squeeze days' between a public holiday and a weekend. Working hours are also reduced on the day before certain public holidays. For teaching staff, see above.</p> <p>Lund University Policy for Gender Equality, Equal Opportunities and Diversity (PE 2011/177)</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 7: To develop Lund University as an international higher education institution, and ensure that there is an international perspective in all activities and that the University is attractive to and inclusive of international employees.</p> <p>Organisational resources Handling and investigating cases of harassment and sexual harassment In addition to the Discrimination Act, this support material is based on recommendation from the Equality Ombudsman.</p> <p>Occupational Health Service All employees and scholar-ship holders can (anonymity possible) turn to the Occupational Health Service at the University for work-related medical, psychological and ergonomic advice.</p>
--	--	--	---

			<p>Benefits at Lund University Gym membership reimbursement, the health promotion hour, debit cards, glasses for computer work and partial reimbursement of healthcare and medication costs.</p> <p>GAP identified: See action 4 and 6 in the LU HRS4R Action Plan.</p>
25. Stability and permanence of employment	+/-	<p>National legislation Employment Protection Act (SFS 1982:80) § 5 a (SWE) Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below:</p> <ul style="list-style-type: none"> • General temporary-term (maximum two years) • Substitute • Seasonal work • Employees from age 67 <p>General temporary employment – ALVA (SFS 1982:80 §5a) A worker may be employed for a defined time on a general temporary employment, ALVA. There are no specific conditions for employment according to ALVA. Though, when a worker has been employed with the support of the ALVA in aggregate more than two years during the last five years, the employment is transformed by law to a permanent employment.</p> <p>A new tenure track position is now included in The Higher Education Ordinance (SFS 1993:100) Chapter 4-5 (SWE)</p> <p>Employment Regulation (1994:373) (SWE)</p> <p>Act (2002:293) prohibiting discrimination against part-time workers and workers with fixed-time contracts (SWE)</p>	<p>Organisational regulation Following Swedish legislation. After two years of temporary employments the employment becomes permanent.</p> <p>GAP identified: Prioritised in next implementation phase.</p>

		<p>The Swedish Higher Education Act (1992:1434)</p> <p>The Public Employment Act (1994:260) Section 4 (SWE)</p>	
26. Funding and salaries	+/-	<p>National legislation National collective agreements exists between employees and the unions that ensures researchers receive a contractual salary and equitable social security provisions. Swedish Agency for Government employers (SWE)</p> <p>Employment Protection Act (1982:80) (SWE) After two years of fixed-term employment, employees become permanent employees, with the exception of certain positions e.g. within artistic activities.</p> <p>Adjustment agreement (SWE) The Adjustment agreement is a benefit for employees who are made redundant. It also applies in certain cases to people whose fixed-term employment comes to an end.</p> <p>National resources The Social insurance system is an important part of the Swedish security system. Swedish social insurance covers almost everyone who lives or works in Sweden. It provides financial protection for families and children, people with disabilities and illness, work injury and old age. For those not covered by the social insurance system, Lund University provides insurance through Kammarkollegiet. Through Sweden's membership in the EU, citizens have the right to social security benefits in other EU countries.</p> <p>The Swedish Pension Agency's assignment is to administer and disburse the national pension, but also to provide both general and individual information about pension.</p>	<p>Organisational regulation Admission rules for doctoral education at Lund University (STYR 2017/409) 3. At Lund University, doctoral studentship (employment) are primary method of funding doctoral education. 3.1. Alternative funding such as scholarship, supplementary scholarship or funding in the form of employment with other employer.</p> <p>Salary-setting-factors Salary-setting is to be results-based, which means that it is influenced by your results and their significance for the University. Salary-setting is also to be based on the individual – making it worthwhile for employees to improve their performance and develop in their work.</p> <p>Local agreement on salary-setting for doctoral students (F85 4974/2006) Salary-setting is to be designed so that</p> <ul style="list-style-type: none"> • third cycle education becomes a competitive alternative to professional activity outside higher education for an individual immediately after completing first and second cycle • it fosters a good completion rate in research studies • it promotes the recruitment of suitable people to research studies • the various needs of different faculties are met

		<p>Possibility to unemployment benefits through Swedish Public Employment Service and Unemployment Insurance Funds.</p>	<p>Salary analysis is conducted annually to ensure equal pay for women and men, but also to ensure that the salaries are not unduly biased.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 3: To use career development positions – in particular associate senior lecturer, but also postdoctoral – to a large extent, and as clear in a coherent academic careers system.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
27. Gender balance	+/-	<p>National legislation The Discrimination Act (2008:567) (SWE)</p> <p>The Swedish Higher Education Act (1992:1434) (SWE) The Higher Education Act states that higher education institutions should always observe and promote gender equality.</p> <p>The Higher Education Ordinance (1993:100) If a group of individuals are to submit a proposal on the applicants to be considered for appointment to a teaching post, women and men shall be equally represented in the group. This does not apply, however, if there are extraordinary reasons to the contrary. For the appointment of a professor (including adjunct professor) opinions on the expertise of the applicants shall be obtained, provided that this is not manifestly unnecessary for appraisal of their expertise. When the opinions of two or more persons are obtained, both men</p>	<p>Organisational regulation Strategic plan (STYR 2017/812) The organisation shall be characterised by a good work environment, gender equality and the ability to ensure equal opportunities for both students and staff.</p> <p>Work Environment Policy for Lund University (STYR 2018/2030)</p> <p>Lund University Policy for Gender Equality, Equal Opportunities and Diversity (PE 2011/177)</p> <p>Lund University Appointment Rules (STYR 2019/1077) 1.Introduction The organisation is to be characterised by a good work environment, gender equality and an ability to ensure equal treatment for both students and staff.</p>

		<p>and women should be represented equally. This does not apply, however, if there are extraordinary reasons to the contrary.</p> <p>National resources The Swedish Secretariat for Gender Research is a central actor of gender research and gender equality since 1998, carrying out assignments on behalf of several national, Nordic and European actors. The secretariat is commissioned by the Swedish government to support all state-funded higher education institutions in their gender mainstreaming efforts 2016-2019.</p> <p>Swedish Gender Equality Agency The Swedish Gender Equality Agency is in charge of two development programmes supporting Swedish higher education institutions in their gender mainstreaming work.</p>	<p>2.General principles and rules on recruitment and appointments Processes linked to appointments and promotion shall observe principles and rules regarding equal treatment, objectivity and transparency.</p> <p>5.Recruitment process and preparation of appointment and promotion matters 5.1 The subject of the appointment shall be clearly stated and defined, based on the recruitment targets and gender equality and equal treatments plans. In order for the University to achieve an equal gender balance and increased diversity, the position’s specialisation should be broadly and sufficiently generally defined.</p> <p>New procedure to increase gender equality in the recruitment of professors (STYR 2016/1133) Aims to ensure as far as possible that, when recruiting a professor, there are competent applicants of both sexes before a case goes on to external experts.</p> <p>Admission rules for doctoral education at Lund University (STYR 2017/409) In recruiting and selecting doctoral students for a doctoral programme, an even gender balance and diversity shall be sought in accordance with Lund University’s gender equality, equal opportunities and diversity policy.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 6: To develop the active preventive and systematic management of gender equality and equal treatment issues.</p>
--	--	--	---

			<p>Organisational resources Gender equalities and equal opportunities Equal and diversity are basic principles for all parts of Lund University. In accordance with the Discrimination Act, Lund University works to promote a discrimination free work and study environment. The systematic preventive work against discrimination is ongoing throughout the University, with the aid of templates and a board game to help getting started.</p> <p>Handling and investigating cases of harassment and sexual harassment When employment or promotion of professor shall report in the presentation of gender distribution at departmental level per category of employment (professor, visiting professor and adjunct professor)</p> <p>Percentage of women 2019:</p> <ul style="list-style-type: none"> • Professors 28 % • Senior lectures 41 % • Associate senior lectures and postdoctoral fellows 43 % • Lectures 53 % • Researchers 43 % • Doctoral students 50 % <p>GAP identified: See action 5 in the LU HRS4R Action Plan.</p>
28. Career development	+/-	<p>National legislation The Higher Education Ordinance (1993:100) Ch 6, §§ 28-29 Individual study plans Sec 29.</p>	<p>Organisational regulation Strategic plan (STYR 2017/812) Clear career paths shall be ensured and the University shall work strategically with recruitment.</p>

		<p>All doctoral students have their own individual study plan. The plan shall contain the undertakings made by the doctoral students and the higher education institution, and a timetable for the doctoral student's study program. The plan shall be adopted after consultation with the doctoral student and his or her supervisors. The individual study plan shall be reviewed annually and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in the trade union or student or parental leave. Ordinance (2010:1064).</p>	<p>Decision on staff appraisals (PE 2013/750) The staff appraisal is an annual structured work-related dialogue between the line manager and the employee, which provides an opportunity for planning the following year, and a transparent and predictable assessment of the previous year. At the staff appraisal, the individual's goals and need for professional development are to be specified. These are to be linked to the goals of the organisation.</p> <p>Regulations for doctoral education at Lund University (STYR 2018/562) 7. An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the student and the higher education institution and a timetable for the student's studies. The plan shall be adopted after consultation with the doctoral student and his or her supervisor.</p> <p>Lund University Appointment Rules (STYR 2019/1077) 6.Promotion</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 1: To develop the strategic, long-term and proactive work on good and clear career paths, recruitment and talent management at all levels of the organisation. Principle 3: To use career development positions – in particular associate senior lecturer positions, but also</p>
--	--	---	---

			<p>postdoctoral – to a large extent, and as a clear step in a coherent academic careers system.</p> <p>Principle 5: To develop the support for academic qualifications, continuing professional development and career development.</p> <p>Organisational resources Career development for academic staff Lund University offers a broad range of activities that contribute in one way or another to career development for academic staff, either within academia or outside it.</p> <p>International opportunities and partnership At Lund University, employees have the opportunity to take advantage of the many established networks and contacts to develop new international collaborations.</p> <p>Work at Lund University See web-site for information about being employed at Lund University.</p> <p>GAP identified: See action 3 and 8 in the LU HRS4R Action Plan.</p>
29. Value of mobility	+/-	<p>National legislation Act (1974:981) on employee's right to time-off for studies (SWE)</p> <p>Act (1997:1293) on the right to time-off to conduct business (SWE)</p> <p>Leave for employees in the governmental sector – for employees of authorities subordinated the government are</p>	<p>Organisational regulation Strategic plan (STYR 2017/812) There shall be good opportunities for international mobility for students and staff. The University shall be attractive to international students and staff. The University shall have strategically supported international partnership and take an active part in</p>

		<p>special rules in Ordinance respecting Leave of Absence (1984:111) (SWE) and in collective agreement (SWE). Ordinance respecting Leave of Absence also includes rules of right to leave for governmental employees during service abroad.</p>	<p>influential international network, such as LERU and U21.</p> <p>Lund University Appointment Rules (STYR 2019/1077)</p> <p>5.1 The appointment's specialisation, person specification and information on vacancies (vacancy announcement). The position's person specification shall clearly present the qualifications requirement and assessment criteria the Appointment Rules prescribe as well as the complementary qualification requirements assessments criteria arising from the organisation's strategic consideration and needs.</p> <p>Academic qualifications portfolio at Lund University (PE 2013/34)</p> <p>Both Swedish and international candidates are to be able to use the academic qualifications portfolio, which is to be viable for applications to other Swedish and international higher education institutions as well.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 5: To develop the support for academic qualifications, continuing professional development and career development.</p> <p>Principle 7: To develop Lund University as an international higher education institution, and ensure that there is an international perspective in all activities and that the University is attractive to and inclusive of international employees.</p>
--	--	---	--

			<p>Organisational resources For international staff The internal website for Lund University</p> <p>Work at Lund University Lund University offers an impressive range of high-quality research and education, made possible by our 7,600 staff members and 40,000 students.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
30. Access to career advice	+/-	<p>National legislation The Higher Education Ordinance (1993:100) Ch 6, §§ 28-29</p>	<p>Organisational regulation Local agreement on working hours for teaching staff at Lund University 5. Over a period of several years, each member of teaching staff is to be guaranteed time for individual professional development. This is to be planned and documented in consultation between the employee and the employer and can either be combined to cover extended periods or structured more continuously over the planning period.</p> <p>Local collective agreement on working hours for associate senior lectures (PE 2013/363) Supplement to the above agreement.</p> <p>Decision on staff appraisals (PE 2013/750) The staff appraisal is an annual structured work-related dialogue between the line manager and the employee, which provides an opportunity for planning the following year.</p>

			<p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 1: To develop the strategic, long-term and proactive work on good and clear career paths, recruitment and talent management at all levels of the organisation.</p> <p>Organisational resources Career development for academic staff Lund University offers a broad range of activities that contribute in one way or another to career development for academic staff, either within academia or outside it.</p> <p>GAP identified: See action 8 in the LU HRS4R Action Plan.</p>
31. Intellectual Property Rights	+/-	<p>National legislation Act (1949:345) on the right to Employee Inventions (SWE) Academic staff at Swedish universities are given the rights to their own research results through the “Teachers’ exemption” i.e. the exemption from employers' rights to their employees' patentable inventions.</p> <p>The Swedish Higher Education Act (1992:1434) Ch 1, § 6</p> <p>National resources Principles for handling intellectual property in research agreements (REK 2016-3) (SWE) by the Association of Swedish Higher Education is recommended as praxis for Swedish Higher Education Institutions.</p>	<p>Organisational regulation Lund University's regulation on secondary employment (STYR 2018/2104) Secondary employment is any assignment, employment or other occupation that an employee engages in alongside their regular employment at the University. The main rule is that employees dispose of their leisure time as they wish and that secondary employment is permitted. However, the secondary employment is not to be such that it might compromise the credibility, scope or quality of the public authority's activities.</p> <p>General recommendation on Lund University's right to use copyrighted material (STYR 2015/542) Through its participation in the EU research programme Horizon 2020, Lund University is also</p>

			<p>required to account for how intellectual property rights are handled in collaboration projects and contract research. The account is to include the University's use of copyrighted material.</p> <p>Policy on open access publication at Lund University (LS 2013/729) Lund University strives to spread knowledge of its research and research findings to a wide audience in accordance with the Berlin Declaration on Open Access. At the same time, the University defends the freedom of the researcher to choose the publication format and channel.</p> <p>Organisational resources Copyright, publication and reproduction Website about copyrights, information about what to consider when publishing, and what rules apply for reproducing (copying).</p> <p>Career development for academic staff Lund University offers a broad range of activities that contribute in one way or another to career development for academic staff, either within academia or outside it.</p> <p>GAP identified: See action 2 in the LU HRS4R Action Plan.</p>
32. Co-authorship	+/-	<p>National legislation There is no Swedish legislation regarding co-authorship in research. Though, as a response to the recommendation of the European Commission, April 2008, on the management of intellectual property in knowledge transfer activities and Code of Conduct for universities and other public research</p>	<p>Organisational resources Career development for academic staff Lund University offers a broad range of activities that contribute in one way or another to career development for academic staff, either within academia or outside it.</p>

		<p>organisations, the Association of Swedish Higher Education has developed Principles for handling intellectual property in research agreements (REK 2016-3)</p> <p>National and international resources The Swedish Research Council provides guidelines for Good Research Practice Ch 6.</p> <p>Codex – rules and guidelines for research (Swedish Research Council)</p> <p>Lund University strives to follow the recommendation in the Vancouver Convention and Allea – The European Code of Conduct for Research Integrity as regards co-authorship. However, there are difference in praxis between the various subject areas in the university.</p>	<p>GAP identified: Prioritised in next implementation phase.</p>
33. Teaching	+/-	<p>National legislation The Swedish Higher Education Act (1992:1434) Ch 3, §2 For education and research, there shall be professors and lecturers employed as teachers at the higher education institutions.</p> <p>The Higher Education Ordinance (1993:100) Ch5, § 2 and Ch 4, § 12 a Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research and administration. Duties of this kind may not comprise more than 20 percent of a full-time post.</p>	<p>Organisational regulation Local agreement on working hours for teaching staff at Lund University The working hours for teaching staff are to be arranged in such way as to enable high quality education and research and to allow the organisation to develop and change according to its needs and the demands placed on it. The present agreement also aims to create good working conditions for the University's teaching staff.</p> <p>The starting point for the allocation of the annual working hours for teaching staff is for the organisation to make the most of available resources and to achieve a good balance between the various duties and different categories of teaching staff. Another aim is to achieve a balance</p>

			<p>in the distribution of the annual working hours over the calendar year.</p> <p>Local collective agreement on working hours for associate senior lectures (PE 2013/363) Supplement to the above agreement.</p> <p>Regulations for doctoral education at Lund University (STYR 2018/562)</p> <p>9. Departmental duties Students on doctoral studentship are expected to devote most of their time to their own studies. Those appointed to doctoral studentship may, however, work to a limited extent with educational tasks, research, artistic development and administration, not more than 20 per cent of full-time post. Doctoral students who teach in the first or second cycle shall have completed introductory training of at least two weeks or acquired equivalent knowledge in another way.</p> <p>Organisational resources Higher Education Development Lund university's employment act requires at least five weeks of course work for academic positions. Doctoral supervisors are required to attend a dedicated course on doctoral supervision.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
34. Complaints/ appeals	+/-	National legislation The Work Environment Act (SFS 1977:1160) (SWE)	Organisational regulation Guidelines on handling complaints from students concerning first, second and third cycle studies at Lund University (STYR 2014/169)

		<p>The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment.</p> <p>Systematic work environment management (AFS 2001:1)</p> <p>Organisational and social working environment (AFS 2015:4)</p> <p>The Discrimination Act (2008:567) (SWE)</p> <p>Act (1976:580) on co-determination at Work (SWE) regulates collective labour law. Its name refers to the Act's objective to promote the employees participation of working conditions and management.</p> <p>Act (2016:749) on whistleblower protection (SWE)</p> <p>The Higher Education Ordinance (1993:100) Ch 12 § 2 This paragraph lists the types of decisions of the public university (as public authority) that gives grounds for appeal, including the recruitment process of staff, there is an appeal process against the process of the appointment, and the appointment per se. This does not apply to doctoral student positions.</p> <p>The Public Administration Act (1986:223) Describes the complaints procedure itself in case of a complaint based on the Higher Education Ordinance (1993:100), chapter 12 §2.</p>	<p>The guidelines aim to clarify how a matter that concerns first, second and third cycle studies shall be handled within the University when a student considers that the matter has not been handled in accordance with the pertinent regulations.</p> <p>Regulations for doctoral education at Lund University (STYR 2018/562) 8.1.3. Change of supervisor 8.3. Withdrawal of supervision and other resources</p> <p>Regulation on the handling of matters relating to suspected misconduct in research, artistic research or development work at Lund University (STYR 2018/760) 5. The responsibility for investigating suspected misconduct in research, artistic research or development work lies with the Research Misconduct Review Board. 6. Suspected misconduct in research, artistic research or development work shall be reported immediately to the University.</p> <p>Organisational resources Handling and investigating cases of harassment and sexual harassment</p> <p>Employee organisations</p> <p>Central HR Department (SWE) provides support.</p> <p>Doctoral candidates and union support The Lund Doctoral Candidates' Union provides advice, information and support throughout the time as a doctoral candidate.</p>
--	--	--	---

			GAP identified: Prioritised in next implementation phase.
35. Participation in decision-making bodies	+/-	<p>National legislation The Swedish Higher Education Act (1992:1434) Ch 2, § 6</p> <p>The Higher Education Ordinance (1993:100) Ch 2, § 7a</p> <p>Act (1976:580) on co-determination at Work (SWE) Describes employee's rights to information about the workplace.</p>	<p>Organisational regulation Strategic plan (STYR 2017/812) Well-developed leadership and collegiality are success factors.</p> <p>Rules of procedure for Lund University (STYR 2019/1903) Members of the faculty and departmental boards are appointed through election, and the majority consists of teaching staff with research/artistic expertise. The decision-making power of the elected bodies is important for employee influence, and contributes to a healthy division of power. As a knowledge organisation, the University's success depends on the professional commitments of its employees, which enabled by providing considerable opportunities for participation. Students at Lund University shall have the right to appoint representatives to preparatory and decision-making bodies.</p> <p>Lund University Policy for Gender Equality, Equal Opportunities and Diversity (PE 2011/177) The aim of the policy is that active work will be carried out on all levels to achieve an even gender balance in all decision-making bodies and in leadership roles. In the appointment of faculty management, including executive committees etc., consideration shall be given to gender equality and diversity.</p> <p>Lund University Appointment Rules (STYR 2019/1077) 5.2. Preparatory bodies</p>

			<p>An academic appointments board shall comprise one chair, at least three academic staff representatives and two student representatives. Men and women are to be equally represented in academic appointments boards, recruitment committees and working groups (see Chapter 4, Section 5 HF).</p> <p>GAP identified: Prioritised in next implementation phase.</p>
Training and Development			
36. Relation with supervisors	+/-	<p>National legislation The Higher Education Ordinance (1993:100) Ch 6, § 28-29 At least two supervisors shall be appointed for each PhD student. One of them shall be nominated as the principal supervisors. The PhD is entitled to supervision during his or her studies unless the Vice-Chancellor has decided otherwise by virtue of Sec 30. A PhD student who so requests shall be allowed to change supervisor. (Updated through Ordinance 2010:1064.)</p> <p>An individual study plan (ISP) shall be drawn up for each doctoral student.</p>	<p>Organisational regulation Regulations for doctoral education at Lund University (STYR 2018/562)</p> <p>7. Individual study plan An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the student and the higher education institution and a timetable for the student's studies. 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 supervisor.</p> <p>8.1. Supervision and supervisor training Supervisors shall be appointed by the faculty board at the start of the programme. The person appointed principal supervisor shall hold the post of reader or have equivalent research/artistic and teaching expertise, unless there are valid reasons to the contrary. The University shall arrange qualifying training for supervisors of doctoral students. Supervisors of</p>

			<p>doctoral students shall have completed supervisor training or been judged by the faculty board to have equivalent skill.</p> <p>Supervision shall be sufficient in terms of time and quality to enable doctoral students to complete their studies in the time intended.</p> <p>Doctoral candidates and union support The Lund Doctoral Candidates' Union provides advice, information and support throughout the time as a doctoral candidate. A Doctoral Student Ombudsperson mandated to assist doctoral students when facing challenges in their studies is also available.</p> <p>Occupational Health Service All employees and scholar-ship holders can (anonymity possible) turn to the Occupational Health Service at the University for work-related medical, psychological and ergonomic advice.</p> <p>Both student- and PhD-student have representatives in Lund University Board, at Faculty Boards and in Health and Safety Committees.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
37. Supervision and managerial duties	++	<p>National legislation The Higher Education Ordinance (1993:100) Ch 6, § 28 At least two supervisors shall be appointed for each PhD student. One of them shall be nominated as the principal supervisors. The PhD is entitled to supervision during his or her studies unless the Vice-Chancellor has decided otherwise by virtue of Sec 30. A PhD student who so</p>	<p>Organisational regulation Regulations for doctoral education at Lund University (STYR 2018/562) 8.1.1. Appointment of supervisors Supervisors shall be appointed by the faculty board at the start of the programme. The person appointed principal supervisor shall hold the post of reader or have equivalent research/artistic and</p>

		requests shall be allowed to change supervisor. (Updated through Ordinance 2010:1064.)	<p>teaching expertise, unless there are valid reasons to the contrary. The University shall arrange qualifying training for supervisors of doctoral students. Supervisors of doctoral students shall have completed supervisor training or been judged by the faculty board to have equivalent skill.</p> <p>Organisational resources Higher Education Development Courses are open for all who teach or supervise students at Lund university: new teachers, experienced teachers, doctoral supervisors, professors, doctoral students, librarians etc.</p> <p>Management and leadership development Professional development for those in management and leadership positions at Lund University is offered in the form of a number of courses and programmes.</p>
38. Continuing Professional Development	+/-	National legislation The Higher Education Ordinance (1993:100) Ch 6, § 29	<p>Organisational regulation Local agreement on working hours for teaching staff at Lund University Over a period of several years, each member of teaching staff is to be guaranteed time for individual professional development. This is to be planned and documented in consultation between the employee and the employer and can either be combined to cover extended periods or structured more continuously over the planning period.</p> <p>Local collective agreement on working hours for associate senior lectures (PE 2013/363) Supplement to the above agreement.</p> <p>Decision on staff appraisals (PE 2013/750)</p>

			<p>The staff appraisals is an annual structured work-related dialogue between the line manager and the employee, which provides an opportunity for planning the following year, and a transparent and predictable assessment for the previous year. At the staff appraisal, the individual's goals and need for professional development are to be specified. These are to be linked to the goals of the organisation.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076)</p> <p>Principle 1: To develop the strategic, long-term and proactive work on good and clear career paths, recruitment and talent management at all levels of the organisation.</p> <p>Principle 5: To develop the support for academic qualifications, continuing professional development and career development.</p> <p>Organisational resources Professional and careers development Lund University offer professional development based on the needs of the organisation. Today's fast-paced rate of change means that we need to actively support the development of both the organisation and the employee to become a world-class university and an attractive place to work.</p> <p>Career development for academic staff Lund University offers a broad range of activities that contribute in one way or another to career development for academic staff, either within academia or outside it.</p>
--	--	--	--

			GAP identified: See action 7 in the LU HRS4R Action Plan.
39. Access to research training and continuous development	+/-	<p>National legislation The Higher Education Ordinance (1993:100) Ch 6, § 29</p> <p>National and international resources Euraxess – Researchers in Motion is a unique pan-European initiative delivering information and support services to professional researchers.</p>	<p>Organisational regulation Local agreement on working hours for teaching staff at Lund University Teaching staff are to be encouraged to acquire qualifications. To the extent that it is financially possible, teaching staff are to be provided with opportunities for recurring extended periods for research, third cycle studies or professional development. Time is also to be set aside for higher education teacher training as required.</p> <p>Local collective agreement on working hours for associate senior lectures (PE 2013/363) Supplement to the above agreement.</p> <p>Decision on staff appraisals (PE 2013/750) The staff appraisals is an annual structured work-related dialogue between the line manager and the employee, which provides an opportunity for planning the following year, and a transparent and predictable assessment for the previous year. At the staff appraisal, the individual's goals and need for professional development are to be specified. These are to be linked to the goals of the organisation.</p> <p>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University (STYR 2019/1076) Principle 1: To develop the strategic, long-term and proactive work on good and clear career paths, recruitment</p>

			<p>and talent management at all levels of the organisation.</p> <p>Principle 3: To use career development positions – in particular associate senior lecturer positions, but also postdoctoral positions – to a large extent, and as a clear step in a coherent academic careers system.</p> <p>Organisational resources Professional and careers development Lund University offer professional development based on the needs of the organisation. Today's fast-paced rate of change means that we need to actively support the development of both the organisation and the employee to become a world-class university and an attractive place to work.</p> <p>Career development for academic staff Lund University offers a broad range of activities that contribute in one way or another to career development for academic staff, either within academia or outside it.</p> <p>GAP identified: See action 7 in the LU HRS4R Action Plan.</p>
40. Supervision	+/-	<p>National legislation The Higher Education Ordinance (1993:100) Ch 6, §§ 28-30 At least two supervisors shall be appointed for each PhD student. One of them shall be nominated as the principal supervisor. The PhD student is entitled to supervision during his or her studies unless the Vice-Chancellor has decided otherwise by virtue of Section 30. A PhD student who so requests shall be allowed to change supervisor.</p>	<p>Organisational regulation Regulations for doctoral education at Lund University (STYR 2018/562) 7. Individual study plan An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the student and the higher education institution and a timetable for the student's studies.</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 supervisor.</p> <p>8.1. Supervision and supervisor training Supervisors shall be appointed by the faculty board at the start of the programme. The person appointed principal supervisor shall hold the post of reader or have equivalent research/artistic and teaching expertise, unless there are valid reasons to the contrary. The University shall arrange qualifying training for supervisors of doctoral students. Supervisors of doctoral students shall have completed supervisor training or been judged by the faculty board to have equivalent skill. Supervision shall be sufficient in terms of time and quality to enable doctoral students to complete their studies in the time intended.</p> <p>8.1.1. Appointment of supervisors Supervisors shall be appointed by the faculty board at the start of the programme. The person appointed principal supervisor shall hold the post of reader or have equivalent research/artistic and teaching expertise, unless there are valid reasons to the contrary. The University shall arrange qualifying training for supervisors of doctoral students. Supervisors of doctoral students shall have completed supervisor training or been judged by the faculty board to have equivalent skill.</p> <p>GAP identified: Prioritised in next implementation phase.</p>
--	--	--	--

