TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: 2021SE601702

Name Organisation under review: Swedish University of Agricultural Sciences (SLU), Sweden

Organisation's contact details: Marnie Hancke, SLU, Uppsala, marnie.hancke@slu.se

SUBMISSION DATE: 2021-11-04

DATE ENDORSEMENT CHARTER AND CODE: 2021-02-04

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.

Abbreviations:

LTV-faculty: Faculty of Landscape Architecture, Horticulture and Crop Production Science

NJ-faculty: Faculty of Natural Resources and Agricultural Sciences

VH-faculty: Faculty of Veterinary Medicine and Animal Science

S-faculty: Faculty of Forest Sciences

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

Status: to what extent does this organisation meet the following principles?	Implementation: ++ = **fully** implemented +/- = **almost but not fully** implemented -/+ = **partially** implemented -- = **insufficiently** implemented	In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom	++	**Relevant legislation - No impediments identified**	**Organisational regulations/procedures** All types of organisations, private as well as public, need to comply with national legislation. SLU is a governmental agency (public-sector university) that gets its mission from the government. Research freedom is one of the pillars of research in Sweden. Researchers are free to publish, own and benefit from their results. SLU continues to follow current and future legislation and provides researchers with information and advice on legislation and researchers' rights and obligations. SLU's Strategy 2021-2025 and Vision and mission statement establishes SLU's vision and strategic goals to reinforce our academic mandate and further prioritise excellent teaching, research and environmental monitoring and assessment in the field of life sciences.

			• SLU's staff are bound by the common values for all state employees. The values are based on the basic legal principles for state administration according to the form of government as well as other laws and regulations. At SLU, these are supplemented with four fundamental values: a) a scientific approach, b) creativity, c) openness, d) responsibility) that provide guidance in everyday life, by describing the starting point for our activities, for contacts with the outside world, and for how we behave towards each other and others.
			• SLU puts large effort into providing training for employees, doctoral students and students in issues such as research freedom. Such aspects are e.g. covered in the doctoral supervision course as supervision is an important educational instrument in doctoral-level education. Supervision is not just about communicating knowledge to students, but also involves promoting the development of doctoral students into independent researchers. This includes supporting the development of skills such as analytical abilities, critical and innovative thinking, project management and collaborating with others.
2. Ethical principles	+/-	**Relevant legislation and national boards - No impediments identified.** humans, but also research on biological material and sensitive personal data. **Gap identified:** SLU has no central board that is responsible for handling issues of misuse of ethical practices or Codes of Ethics.	**Organisational regulations/Procedures** • The Swedish Research Council has published a guide to Good Research Practise, which is linked to in the SLU Manual for managing research material. • SLU researchers have to follow the guidelines outlined in Codex. The website is operated by the Swedish Research Council in cooperation

			with The Centre for Research Ethics & Bioethics at Uppsala University. The aim of Codex is to give researchers and other interested parties access to and information on the guidelines, ethics codes and laws that regulate and place ethical demands on the research process.
			• The Board for Animals in Research and Teaching (FDN) functions as SLU's animal welfare body and therefore work actively to prioritise animal welfare within the organisation. This includes providing advice to staff regarding animal welfare, as well as establishing and inspecting internal guide lines for the supervision, reporting and monitoring of the animals' welfare and the comprehensive work with animal welfare within the organisation.
			• Funders' requirements and research ethics is part of the Manual for managing research material, section 1. SLU Grants Office provides support to individual researchers regarding this aspect.
			• The Doctoral supervision course for docents includes a specific session on ethics.
			• For PhD students it is mandatory to complete the equivalent of (at least) three credits of research ethics and philosophy of science. These courses address scientific misconduct, plagiarism, and the responsibilities of a researcher.
			• Since 2019, SLU has a "Nagoya group" consisting of members from each faculty, the legal affairs unit, and administrative support.
			• The Data Curation Unit assists researchers, doctoral students as well as Environmental

			monitoring and assessment staff in achieving good data management, from the planning of a project until data is archived and published.
			• [Policy on the use of animals in research and education at SLU](#) The Swedish definition of research animals differs from its European equivalent in the way that the purpose determines whether an animal is a research animal. SLU has developed [data protection](#) manuals for handling of GDPR related issues.
			Suggestion for improvement: Investigation how to further proceed in the establishment of a central Ethics Board (See **Action Plan, action 2**).
3.Professional responsibility	+/-	**Relevant legislation - No impediments identified.** **Gap identified:** the Staff policy is outdated and needs to be revised. **Gap identified:** S*LU has not fully established an OTM-R policy.*	**Organisational regulations/Procedures** • [The Doctoral supervision course](#) includes a specific session on professional responsibility. Additional courses on the use of animals in research are given to those those who conduct such experiments. • SLU has two Senior Lecturers in ethics. • [SLU Staff Policy](#)

			• SLU's guidelines on research misconduct SLU is revising the guidelines on how to proceed with accusations of research misconduct, due to a legislative change with effect from January 1, 2020. • The SLU Board's delegation of authority regulates The SLU Staff Disciplinary Board on p.21. **Suggestion for improvement:** Revise the Staff policy (see **Action Plan, action 3**). **Suggestion for improvement:** New version of Appointments procedures referring to OTM-R policy adopted and published on relevant websites (see **Action Plan, action 21**).
4. Professional attitude	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • SLU employees' obligations In Sweden, all governmental employees have a professional responsibility in connection with their duties. This responsibility entails a disciplinary liability and a criminal liability. This website informs SLU employees about their obligations and responsibilities. • Web training for government employees is a web-based course aimed at increasing the employees' knowledge and overall understanding of the responsibilities associated with being a government employee at a university or college. • SLU's Strategy 2021-2025 • Manual for managing research material • Guidelines for secondary employments

			• The Grants Office is a unit focusing on supporting researchers and other SLU staff in applying for external funding and administrating EU-funded projects. • Guidelines for external funding – guidelines clarifying the internal rules and routines when applying for external funding at SLU. • In the Individual Study Plan, ISP, the doctoral student and the supervisor must inform the university if a research project is delayed, redefined, or completed. The ISP is updated at least once a year or whenever necessary. The doctoral student can choose to submit an ISP in Swedish or English. • SLU's introduction of new staff members is thorough and divided into three parts that are carried out at the host department/division on the respective campus and in Uppsala. • SLU provides researchers with a support page that contains links to webpages with relevant information.
5. Contractual and legal obligations	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • SLU Holding is a wholly-owned subsidiary of the university with a mission to support that the university's successful research is made available to society. • Researchers are advised to contact SLU Holding and the Legal Affairs Unit in issues concerning utilisation of research. • Grants Office provides advice on contract issues, grant agreements and consortium agreements (primarily EU funding), always in dialogue with the Legal Affairs unit.

			• [Policy for scientific publishing at SLU](#) The overarching aim of this policy is to increase dissemination, visibility and usability of SLU's research, as well as to promote publishing in high quality dissemination channels. • [Manual for managing research material](#) Section 1 in this manual specifically covers contractual and legal obligations concerning managing, preserving and publishing research data and records, as well as internal routines for this at SLU. • [The Doctoral supervision course](#) covers aspects of contractual and legal obligations for researchers. • Since 2019, SLU has a "[Nagoya group](#)" (Swedish only) consisting of members from each faculty, the Legal Affairs unit, and administrative support (see principle 2). • At the SLU staff web there is information about the [use of animals in research and education](#).
6. Accountability	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** SLU's division of responsibilities is described in the following documents: • [SLU Board of Governors delegation of authority](#) • [Vice-chancellor's delegation of authority](#) • [Delegation of authority at the LTV faculty](#) (Swedish only) • [Delegation of authority at the NJ faculty](#) (Swedish only) • [Delegation of authority at the VH faculty](#) (Swedish only) • [Delegation of authority at the S faculty](#) (Swedish only)

			• Annual dialogue between vi-chancellor and faculty managements regarding budgetary issues and competency maintenance plans. • Annual dialogue between the dean and heads of departments regarding budgetary issues and competency maintenance plans. • Manual for managing research material • SLU employees' obligations is stated on the SLU Staff Web and addresses the importance of the employees knowledge and overall understanding of the responsibilities associated with being a government employee at a university or college. • Quality and Impact – research evaluations at SLU In order to gain insights into how SLU works toward the goals of creating knowledge on the sustainable use of natural resources demands not only that our research is of the highest international quality, but also that it comes to use in society. Two research evaluations, one in 2009 and the most recent in 2018 were initiated by the SLU University Board. • Intensified SLU engagement for Agenda 2030 SLU is one of 51 Swedish authorities that have gathered to support the achievement of the social adjustments needed to fulfil the Sustainable Development Goals (SDGs) of Agenda 2030. • Environmental certification SLU is certified by ISO 14001. • Researchers are advised to contact SLU Holding and the Legal Affairs unit in issues concerning the utilisation of research (see principle 5). • Grants Office provides advice on contract issues, grant agreements and consortium

			agreements (primarily EU funding), always in dialogue with the Legal Affairs unit (see principle 5).
			• Grants office offers guidelines for external funding, stating that it is the responsibility of the Head of the Department to; a) determine whether the application/tender has the prerequisites to become a fully funded project, b) ensure that an application/tender is submitted and c) make sure that an application budget using SLU's project calculator is established and finally registered in SLU's documentation system (Public 360) without delay.
			• SLU publishing policy covers Open Access issues. The policy states that each research publication must be registered in SLUpub, the university's publication repository. Staff at the SLU Library support researchers in dealing with all publication issues.
			• The Manual of Economy (Ekonomihandboken) addresses in chapter 14, aspects of entertainment and representation at SLU. The SLU purchasing policy is described in chapter 8.
			• In SLU Guidelines for business travel and meetings, aspects of business travel are addressed.
			• The staff web page Open data at SLU (Swedish only) provides information on what open data is and the different levels of open data.
			• Within SLU's environmental monitoring and assessment, a quality guide for the management of environmental data has been established and published. On the same web page, a guide (Swedish only) on how environmental data should be managed is

			also available. In addition, SLU has internal [guidelines for managing environmental data](#) (Swedish only).
7. Good practice in research	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** SLU actively works to create a safe and stimulating environment for all employees and students, in compliance with national legislation. A good work environment is a prerequisite for SLU to achieve the university's goals, which contributes to making SLU an attractive employer and place to study. The employer has the main responsibility for the work environment and must, together with employees and safety representatives, develop routines to prevent illness and accidents in the workplace. SLU promotes a good work environment through a number of policies, organs and services: • [Work environment policy](#) • [Work environment guidelines on department leve](#)l (Swedish only) • [Vice-chancellor's delegation of authority](#) states that the Vice-Chancellor has the main responsibility for the work environment, but with the authority to delegate the responsibility in the line of organisation. • [Delegation of authority at the LTV faculty](#) (Swedish only) specifies the responsibility of the Head of Department, including work environment and equal opportunities among others. • [Delegation of authority at the NJ faculty](#) (Swedish only)

			• [Delegation of authority at the VH faculty](#) (Swedish only) • [Delegation of authority at the S faculty](#) (Swedish only) • [Systematic fire protection work](#) The systematic fire protection work at SLU aims to protect people, property and environment. All employees must undergo a course in fire protection every fourth year. • [HLR Education at SLU](#) (Swedish only) training in cardiopulmonary resuscitation (CPR) • [Security and information security](#) The safety work at SLU aims at ensuring the least possible damage and loss, based on the overall goal that the work and study environment for employees, students and others that SLU engages, is safe and secure. SLU's tangible (property) and intangible (information and trademark) assets must be protected. • [Security and information security policy](#) (Swedish only) • [Strategy for preserving electronic records](#) SLU has a good structure for public access, enabling the public and researchers to easily access public records, including data from research and environmental monitoring and assessment. • [The Data Curation Unit](#) at SLU is responsible for the processes of archiving and publishing research data (see also principle 2). A policy for data management is in progress, expected to be finalised in autumn 2021. • SLU's organisation for IT security coordination is based on a collaboration

			between the SLU IT department and Uppsala University's IT department.
8. Dissemination, exploitation of results	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** SLU recognises and promotes the dissemination and exploitation of research results as a way of creating value within academia and society as a whole. The Division of Communication is responsible for SLU's overall communication activities. Environmental Monitoring and Assessment is part of SLU's missions since 1997 and thus gives SLU a unique role among Swedish HEI. Environmental monitoring and assessment delivers science-based decision support needed to help reach our environmental objectives, nationally as well as internationally. For the exploitation of results, SLU Holding, a wholly-owned subsidiary of the university with a mission to support that the university's successful research is made available to society, is a valuable asset. Researchers are advised to contact SLU Holding and the Legal Affairs Unit issues concerning utilisation of research. All agreements with third parties involving intellectual property rights issues must contain information on how IPR is handled. The Legal Affairs Unit at SLU is always involved in matters with third parties. The guidelines on secondary employment regulates employees' possibilities to engage in secondary employment. Below we list examples of organisational units/divisions or activities with special focus on dissemination and exploitation of results. Collaboration Specialists are experts in different subjects, dedicated to combine proficiency in

			research with extension activities in their respective subject areas.
			SLU has during the last 10 years invested in four strategic platforms (SLU Future Food, SLU Future Forests, SLU Urban Futures, SLU Future One Health) with a mission
			i. to identify needs for knowledge, through projects based on synthesis and analysis, and generate scientifically based decision support for issues relevant to society;
			ii. identify and develop, through collaboration with relevant actors in society, new questions for research to support solutions to future challenges;
			iii. develop interdisciplinary working methods by coordinating cooperation across disciplinary boundaries.
			• SLU Global is a unit at the Vice-Chancellor's Office that supports SLU's work for global development to contribute to Agenda 2030, with a focus on low-income countries. Through the different partnerships policy briefs are produced and disseminated.
			• SLU Partnership Alnarp is a forum for cooperation between the LTV-faculty at SLU in Alnarp and the business community, public authorities and industry organisations in southern Sweden. The partnership's activities include research and development projects, seminars, degree projects and mentoring programmes, with a focus on agriculture, forestry and horticulture.
			• Movium (Swedish only) works with urban development issues in collaboration with several municipalities in Southern Sweden.

			• Policy for scientific publishing at SLU covers Open Access issues. The policy states that each research publication must be registered in SLUpub, the University's publication repository. Staff at the SLU Library support researchers in dealing with all publication issues. • Published at SLU A website for popular science publications in print and on the web. • SLU Knowledge bank A website about findings from research and environmental monitoring and assessment, also containing expertise on SLU connected issues. • Worth knowing Worth knowing is a project with short lectures about SLU research. • Strategic collaboration with Skansen and Baltic Sea Science Center • Soapbox Science – SLU is involved in arranging and highlighting women in science through Soapbox Science events in both Umeå and Uppsala. • Fascination of Plants Day SLU is participating in this international event with the aim to enthuse the general public about plants and plant science. • PhD course on Information retrieval and methods for scientific communication. • SLU is a member of the BIBSAM consortium, which provides national Open access agreements with a number of publishers. • SLU researchers regularly contribute with knowledge to public service radio and TV programs, podcasts etc. • SLU researcher (Swedish only) participates in Netflix documentary "Connected"

			• SLU publishes in a wide variety of newsletters, magazines ,fact sheets, and policy briefs (in Swedish only) • SLU is part of a national project concerning "Implementation of working methods and increased knowledge of knowledge assets and intellectual property rights" (IMP) (Swedish only) • Researchers Grand Prix – SLU has participated in the Researchers Grand Prix, which is part of the European Researchers Night, several times.
9. Public engagement	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** SLU collaborates on a regular basis with regional as well as national and international actors to communicate research results and to mutually share knowledge and ideas, as well as to establish networks of actors in order to contribute to solving societal challenges. Below you find examples of public engagement: • SLU Collaboration Specialists SLU experts in different subjects, dedicated to combine proficiency in research with extension activities in their subject areas. • The Division of Communication produces press releases, as well as other relevant research news and events, and connects researchers to external media and vice-versa. • Artportalen (Swedish only) The species portal is one of the world's largest reporting systems for species observations. Annually, about 10,000 users report several million species sightings. The database will soon contain 70 million observations, of which about 70% are birds. The system is used by authorities, researchers and conservationists as well as the public. The

			information that is entered is searchable and free to use for everyone.
			• Naturens kalender (Swedish only). Nature's calendar is run by the Swedish Phenology Network, which is a network including several universities, authorities and associations. SLU is the network's coordinator. Nature's calendar collects observations of spring signs, autumn signs etc.
			• SciFest (Swedish only) SLU arranges, together with Uppsala University, an annual science-festival, with focus on middle- and high school pupils.
			• SLU is part of the ARCS (Arenas for co-operation through citizen science)-project that has the objective to help Swedish universities and colleges to use citizen research in a responsible and sustainable way, to collaborate with society (Swedish only).
			• SLU Open House – SLU invites the public to its campuses to inform about studying at SLU and ongoing research. This year (2021) the events were digital due to the pandemic, and offered live-chats with student counsellors and career advisors (Swedish only).
			• SLU Youth Institute aims to create interest among Swedish youth for global food security and to find sustainable solutions to the global challenges based on the UN Sustainable Development Goals. SLU Youth Institute is a Swedish part of the many Youth Institutes coordinated by the World Food Prize Foundation.
			• SLU on Facebook
			• SLU on Twitter

| 10. Non discrimination | +/- | **Relevant legislation - No impediments identified.**

There are no impediments in the organisation per se, however, impediments lye in academic tradition and culture. A recent study conducted by the Swedish Research Council showed that it takes longer for women to be appointed professors [How gender-equal is higher education? Women's and men's preconditions for conducting research - Vetenskapsrådet (vr.se)](#) | **Organisational regulations/Procedures**
SLU has policies and procedures that demonstrate the university's position on non-discrimination and associated areas. [SLU's strategy 2021-2025](#) points out in one of the documents subcomponents that "active and systematic work to promote a good work environment, gender equality and equal terms is conducted, wherein proactivity and internal learning are guiding principles".
• All SLU staff have access to a [website on threats and harassment](#) stating that SLU has zero tolerance for threats and harassment toward employees, students and our operations.
• [Organisation and working methods for SLU's work with gender equality and equal opportunities.](#) From July 2019, SLU has a new joint organisation for work on equal opportunities and gender equality.
• [Equal Opportunities at SLU](#) – the targeted work with Equal Opportunities for employees and students are defined in annual action plans on central as well as faculty level.
• [Gender mainstreaming at SLU](#) The aim is to include a gender equality perspective in all processes at the university. Consequently, it is included in our operational responsibility.
• A group consisting of staff from the Divisions of Planning, Educational Affairs and Human Resources coordinates the work. The formal responsibilities lies within the line of management and supporting resources/ functions can be found at all levels of the organisation.
• As part of SLU's strategic, long-term work with recruitment and assessment processes from a gender equality perspective, assessment groups and others who participate in |

<table>
<tr><td></td><td></td><td></td><td>

recruitment processes must consider gender equality and equal conditions in their work. Prior to the commencement of an assignment, external experts are encouraged to watch a [film that describes bias and how it can be avoided.](#)

- [Victimisation](#) is not tolerated at SLU. All employees and students at SLU are to be treated equally and respectfully. Everyone is responsible for working to counteract victimisation.
- [Discrimination and harassment](#) Through active health and safety work, SLU aims to create a stimulating work environment for all employees and students. A good work environment is a necessity to reach our operational objectives, and it makes us an attractive employer and place to study. The Divisions of Human Resources and of Service, Security and Environment jointly support the work environment processes.
- The Division of Human Resources supports managers in discrimination issues. In addition, Equality Officers at every faculty support managers and other employees in the preventive work with gender equality and equal opportunities.
- [Staff development review](#) is conducted annually and discrimination issues are discussed and followed up (see point 11).
- The Division of Human Resources conducts an employee survey on a regular basis, the latest one was conducted in [spring 2021](#).
- A PhD student satisfactory survey is conducted every third year, the latest survey was conducted in 2020.
</td></tr>
<tr><td></td><td></td><td>

Gap identified: The share of female professors does not fall within the equal opportunities 40/60 interval.
</td><td></td></tr>
</table>

			• The course SLU Leadership in academia (in Swedish) includes aspects of discrimination. Aspects of norm and norm critique will be included in future courses. SLU's leadership concept includes perspectives on gender equality and equal opportunities. All managers also participate in an extended web course on their responsibilities in the area. • SLU Staff Policy • Gender mainstreaming action plan • Guidelines in case of suspected harassment, sexual harassment of or reprisals against an employee • In order to reach the goals on equal distribution of research funding, SLU has integrated a gender perspective in the annual budgetary work of the departments. **Initiatives undertaken:** This gender gap at professors' level is already identified and is included in a proposed action plan linked to SLU's strategy 2021-2025 and is thus not included in this action plan. The proposed action to achieve equal career paths and opportunities for funding, the "mapping and proposals for action" in the gender mainstreaming plan need to include measures that follow-up the work to increase the share of female professors.
11. Evaluation/ appraisal systems	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • Quality and Impact SLU regularly conducts an evaluation of research. The latest evaluation in 2018 addressed three principle components a) Quality of scientific research, b) Societal impact of research, c) Capacity to collaborate with

			society. The results and recommendations of Q&I form the basis for future strategic decisions made at all levels of SLU.
			• Guidelines for the appointment of docents at SLU Docent is a step on the academic career ladder, used as a proof that the person has developed their academic expertise after being awarded their doctoral degree and that these skills are of a quality required to act as principle supervisor for doctoral students.
			• Distinguished university teacher is an SLU title awarded as part of the university's quality enhancement activities in teaching and educational development.
			• Senior miljöanalysspecialist (Swedish only) for SLU employees that mainly work with environmental monitoring and assessment.
			• SLU's Career grants Since 2016 SLU awards career grants to individuals who perform particularly well in research. From 2021 grants are awarded to researchers who have completed a doctoral degree at least 4 and at most 10 years before the date on which the grant is received. Recipients participate in a specially designed career development program.
			• Guidelines for SLU career grants for researchers.
			• Staff development review
			• The salary review process
			• Appointment procedures for teachers at SLU
			• In the Individual Study Plan, ISP, the doctoral student and the supervisor must inform the university if a research project is delayed, redefined, or completed. The ISP is updated at least once a year or when necessary. The

			doctoral student can choose to submit an ISP in Swedish or English. • General assessment criteria for the appointment of teachers • Internal Audit Unit (Swedish only) reports directly to the University Board.

Recruitment and Selection			
12. Recruitment	+/-	**Relevant legislation - No impediments identified.** **Impediment:** SLU is geographically located throughout Sweden with principal sites in Umeå, Uppsala and Alnarp. The four faculties act independently of each other and being located in different parts of the country contributes to developing different cultures. Thus, it is of great importance to have advertisement templates in both Swedish and English ready and to communicate the weight of acting as one university (see also SLU strategy focus area One SLU) as well as acting as one university by using the same templates. **Impediment:** SLU has 33 departments, each lead by a Head of Department. Heads of Departments are elected among academic peers with the responsibility to develop research and education within the department's field of research. Knowledge about administrative processes and insights into the importance of marketing SLU as one SLU vary. Offering advertisement templates is one action, education in systems used for	**Organisational regulations/Procedures** Standardised routines and templates characterise recruitment processes at SLU, such as appointment profiles including required qualifications and assessment criteria stated prior to recruitment, templates for advertising, strict procedures for expert evaluations, guidelines for interviews and contacting candidates' references. • The Appointment procedures for teachers at SLU is a document that is based on the Higher Education Act (HL) and the Higher Education Ordinance (HF). It describes SLU's fundamental work with recruitment and the promotion of teachers. The appointment procedures are intended to form a framework and describe common points of departure for recruitments, in line with SLU's vision, goals and strategy. The aim is to attract, recruit and maintain high-quality teacher competence. • The General assessment criteria for the appointment of teachers supplements the SLU appointment procedures and describes in more detail the assessment criteria for appointments and are based on SLU's view of recruitment and skills supply.

| | | administrating recruitment processes another to make the recruitment process more uniform. | • The majority of recruitments are conducted by the departments (researchers, post docs, lecturers (adjunct in Swedish) and this process is not regulated or standardised by SLU.
• The process for the recruitment of doctoral students is described in the document [Admission regulations for third cycle education]
• At the SLU website there is instant access to information about career paths under [Academic career and ceremonies]
• [Organisation and working methods for SLU's work with gender equality and equal opportunities.] This is a document describing the working methods for gender equality and equal opportunities within SLU, which has been operational since July 2019. The organisation includes work with gender mainstreaming and equal opportunities both from an employer and education provider perspective. Information is also made available on the SLU website under [Equal opportunities at SLU]
• Under [Jobs and vacancies at SLU,] all vacant positions at SLU are listed to which applications are made through the web-based tool ReachMee. In addition, [internally vacant positions] are announced at the staff website, and are available without log-in restriction.
• [Join SLU] and [My employment] provide information on benefits, local union agreements, opportunities for professional development, career paths and practical information and advice about working at SLU and living in Sweden.
• [Uppsala International Hub] is a collaboration with Uppsala municipality, Uppsala University |

			and Stockholm Chamber of Commerce, informing about life in Uppsala. • The University Board has decided that long-term organisational competency maintenance plans must be present and continuously developed at departmental and faculty level. **Gap identified:** The current advertisement templates do not entirely comply with the toolkit provided by EURAXESS OTM-R principles. **Gap identified:** The process for recruiting staff categories that are not handled by the Academic Appointments Board (i.e. researchers, post-docs, lecturers (adjunct in Swedish) is not standardised.	**Suggestions for improvement:** Revise advertisement templates according to the relevant section of the toolkit provided by EURAXESS (see **Action Plan, action 9**). **Suggestions for improvement:** Develop coherent information on recruitment applicable to staff categories that are not handled by Academic Appointments Board (i.e. researchers, post-docs, lecturers (adjunct in Swedish). See **Action Plan, action 6**.
13. Recruitment (Code)	+/-		**Relevant legislation - No impediments identified.** **Impediment:** as mentioned under principle 12, Heads of Departments are elected among academic peers and do not necessarily have relevant education for (competence based) recruitment. **Impediment:** Due to economic constraints, SLU does not use a large variety of social media platforms so the university needs to have a discussion which platforms to use for advertising. **Impediment:** The decision on where to publish advertisements for research staff is taken by the	**Organisational regulations/Procedures** • Standardised routines and templates characterises all recruitment processes at SLU, such as appointment profiles including required qualifications and assessment criteria stated prior to recruitment, templates for advertising, strict procedures for expert evaluations, guidelines for interviews and contacting candidates' references. • In addition to the Appointment procedures for teachers at SLU and the General assessment criteria for the appointment of teachers, and to further ensure legal certainty and high quality in recruitment processes, appointed external experts are provided with

| | | Head of Department. The reasoning behind is that the department has best knowledge on which forums to use for the recruitment of future colleagues (as this is depending on field of research). The tradition of academic freedom makes it difficult to have rules where advertisements must be published. | thorough guidelines on how to carry out their assignment. For example, they are given information on how the assessment should be structured and eventually presented at a meeting with the Academic Appointment Board. There is also a description of the definition of conflict of interest, where all external experts must give their written confirmation that there is no conflict of interest with any of the applicants. Furthermore, for gender equality reasons and prior to the commencement of an assignment, external experts are encouraged to watch a film that describes bias and how it can be avoided.
• For transparency reasons and to ensure that all necessary information reaches the applicants, standardised templates are used when communicating with candidates (see item 14).
• In the recruitment of professors, a Recruitment Committee is appointed by the Faculty Board in order to produce the advertisement. When appropriate, representatives from different business sectors with relevance for the recruitment, may be co-opted to the Recruitment Committee.
• SLU uses the recruitment tool ReachMee both to advertise vacancies and for digital application processing.
• Jobs and vacancies at SLU All vacancies are advertised on the official website of SLU, our internal staff web and on Platsbanken - the Swedish equivalency to Eures for a minimum of 10 workdays. SLU encourages publication of advertisements in English in order to attract international applicants. |
| | | **Gap identified:** Recruitment processes lack input from expertise at the Division of Human Resources.

Gap identified: SLU does not make use of platforms on social media for recruitment to a sufficient extent.

Gap identified: SLU does not have a policy regarding the advertisements for research staff including publishing at EURAXESS webportal. | |

			Suggestions for improvement: To a larger extent engage the Division of Human Resources in the recruitment of research staff (R1-R4). A training programme on competency based recruitment is going to be offered by the Division of Human Resources every term, starting in April 2021, with the aim to reach all staff involved in recruitment processes (see **Action Plan, actions 4 and 5**). **Suggestions for improvement:** Develop a policy regarding publication of advertisements on platforms including social media (see **Action Plan, action 7**). **Suggestions for improvement:** Develop a policy regarding advertisements for research staff including publishing at EURAXESS web portal (see **Action Plan, action 8**).
14. Selection (Code)	+/-	**Relevant legislation - No impediments identified.** **Impediment:** As mentioned under Principle 12, SLU is geographically located throughout Sweden with principal sites in Umeå, Uppsala and Alnarp. The four faculties act independently of each other and being located in different parts of the country contributes to developing different cultures. The General assessment criteria for the appointment of teachers are open for interpretation and differs among the four faculties.	**Organisational regulations/Procedures** • Appointment procedures for teachers at SLU, describes the selection process. "Teachers" refers to both teachers and researchers. • General assessment criteria for the appointment of teachers The selection process for professors, associate professors and assistant professors includes statements from external experts. At least two external experts are appointed by the Faculty Board to independently evaluate each candidates' scientific and pedagogical competence. For gender equality reasons, there must be

		Gap identified: There might be benefits in harmonising the four faculties' Academic Appointments Board selection procedures.	both males and females among the experts. Based on the documentation submitted, the scientific experts examine whether the candidates meet the competence requirements or not, and then rank eligible candidates according to skills and merits (scientific, pedagogic). Each expert presents their observations, assessments and recommendations in a written report that is presented to the faculty's Appointments Board, responsible for the specific recruitment. At some faculties, experts are also co-opted to the Appointments Board's meeting in order to give an oral account of their assessment. In the recruitment of professors and for positions where teaching is a fundamental part of the position's work description, at some faculties a pedagogical expert conducts a more detailed evaluation of the applicants' pedagogical training, their teaching experience and documentation (teaching materials and course evaluations). • Each of the four faculties has their own Academic Appointments Board, which consists of a broad composition of representatives from the faculty. Members of the Board are appointed by the Faculty Board and display an even gender distribution. Members of the Boards are given an introduction on the recruitment process when appointed. • Based on the experts' opinions and the internal discussion of the Academic Appointments Board, it is decided which applicants are to be invited for interviews.

			• The Academic Appointments Board can carry out trial lectures, interviews and reference taking.
			• The Board's decision is a recommendation on which candidate should be offered the position. Either the Vice-Chancellor (for Professors) or the Head of Department (for all other academic positions) then make the final decision of employment.
			• An overview of teacher's recruitment process is given at the course SLU leadership (SLU Chefskap, Swedish only).
			• With the university's focus on strategic business planning, recruitment and competency maintenance plans become an important tool.
			Initiatives undertaken: An investigation on the conditions of centralising the Academic Appointments Boards is already suggested in the action plan linked to SLU's strategy 2021-2025 and thus not included in this action plan.
			Suggestions for improvement: To ensure coherence and efficiency of actions between this action plan, the action plan for the SLU strategy and the gender mainstreaming plan, regular meetings (at least twice per term) between the coordinator (for the implementation phase) and the division of planning are to be conducted (see **Action Plan, action 19)**.
15. Transparency (Code)	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures**

			- SLU uses the e-recruitment tool ReachMee, which provides a standardised application process. In the advertisement, applicants are provided clear guidelines about the recruitment process. - Throughout the process, applicants continuously receive information, such as: i. The time frame for the recruitment process ii. Information about appointed external experts and when their respective assessment is due iii. Minutes from the first meeting of the Academic Appointments Board, including information on who is invited for an interview, as well as assessments from external experts (for those invited to interview) iv. Minutes from the second meeting of the Academic Appointments Board, including the decision on who is suggested as holder of the position v. Decision on employment and information on how to appeal. - The experts' reports are public documents, according to the Swedish Information and Secrecy Act and the Swedish Freedom of the Press Act. All applicants have the right to request a copy of the applications, assessments and minutes from the Academic Appointments Board. - Jobs and vacancies at SLU
16. Judging merit (Code)	+/-	**Relevant legislation** - **No impediments identified.** **Impediment:** The well established view on scientific and pedagogic merits when assessing applications	**Organisational regulations/Procedures**

		for teacher positions. Despite national efforts (https://k3-projekten.se/om/) financed by VINNOVA to develop HEI capacity to collaborate and to establish assessment criteria for judging collaboration merits a breakthrough is yet to come. **Initiatives undertaken**: The coordinator (for the implementation phase) will follow up upon status of this action through regular meetings (at least twice per term) with the division of planning for reviewing and ensuring progress in actions shared between the SLU strategy and the HRS4R action plan.	• [General assessment criteria for the appointment of teachers](#) The regulations for judging merit at SLU consist of general required qualifications and assessment criteria. • The required qualifications and assessment criteria can also be specified in greater detail in the advertisement stated prior to recruitment and is decided upon by the Faculty Board. • Procedures including a standardised instruction to external experts for judging the candidates' merits secures the quality element of the process. Altogether, this provides transparency, consistency and equity for all candidates. **Initiatives undertaken:** In the action plan for SLU's strategy 2021-2025 the development of merit value of collaboration competency is a prioritized action and is thus not included in this action plan. **Suggestions for improvement:** The coordinator (for the implementation phase) will follow up upon status of this action through regular meetings (at least twice per term) with the division of planning for reviewing and ensuring progress in actions shared between the
		Gap identified: SLU is not regularly including collaboration skills as a judging merit. **Gap identified:** SLU is currently not recognizing mobility as a judging merit.	

			SLU strategy and the HRS4R action plan (see **Action Plan, action 19**). **Suggestions for improvement:** Initiate discussion on SLU's position regarding mobility and it's recognition as a judging merit (**see Action Plan, action 11**).
17. Variations in the chronological order of CVs (Code)	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • Candidates submit their applications, consisting of a CV and personal letter along with other documents or material to verify the required qualifications. The applicant is responsible for submitting the documents or material required to ensure that the university can make a complete and accurate assessment of all qualifications. This also means that the applicants have a great amount of freedom in how they prefer to present their qualifications. • The assessment focuses on the quality of skills for the position, not the quantity of skills or the chronological order of the CV. When submitting their applications, candidates are encouraged to state time for parental leave, societal service or other relevant time gaps in their CV, ensuring that external experts will take this into account.
18. Recognition of mobility experience (Code)	+/-	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** SLU recognises the value of mobility experiences from different sectors as well as international experience when recruiting and promoting researchers. • The Grants Office supports MSCA applications and provides workshops and support for

			other national and international funders. Extensive and dedicated support is given to incoming fellows/researchers, while outgoing fellows can benefit from information, general advice and participation in training activities. Major focus is on large collaborative grants, strategically important funding and excellence grants such as ERC, and Knut and Alice Wallenberg foundations.
			• Grants Office offers career development workshops that emphasise the importance of mobility between countries and sectors.
			• In order to promote competence development among staff and to a<u>ssure</u> quality in collaboration, SLU provides financing opportunities for teaching and study visits at other universities, both inside and outside of Europe. Information about SLU's current Erasmus agreements are found on the SLU website [Staff and teacher mobility](). The Mobility team at the Division of Educational Affairs provides guidance and support for those who are interested in exploring these possibilities.
			• [SLU Global]() is a unit at the Vice-Chancellor's Office that supports and facilitates the university's efforts to collaborate with low-income countries and regions, based on the Global Goals of the Agenda 2030 for Sustainable Development. SLU Global offers researchers with an interest in cooperation with low-income and lower-middle income countries help in finding external funding.
			• At faculty level, there are initiatives aiming at increasing the staff's capacity to successfully compete for external funds within the context of Global Development, e.g. the [Committee on]()

		Gap identified: See principle 16 for experience of mobility as a judging merit.	Global Affairs at the Faculty of natural resources and agricultural sciences. Costs for visiting projects or networks within the context of Global Development are covered and announcements are made annually. Funding is available for PhD students and early career researchers for networking and tag-along senior researchers. • At the Faculty of natural resources and agricultural sciences, the August T Larsson guest researcher programme enables prominent scientists from other countries to travel to and work at SLU for up to two months per year during a three- year period. **Suggestions for improvement:** See principle 16.
19. Recognition of qualifications (Code)	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • The Appointment procedures for teachers at SLU provide clear criteria for when and how assessments should be carried out. This document, as well as all advertisements for the recruitment of researchers and teachers, contain information on both formal requirements, and additional non-formal qualifications that will be taken under consideration during the assessment, ensuring clarity and transparency. Non-formal qualifications cannot replace formal qualifications, but will be of importance in competitive situations and help to ensure that the best suited individual is selected by the Appointments Board. • General assessment criteria for the appointment of teachers

			• **Distinguished university teacher** is an SLU title awarded as part of our quality enhancement activities in teaching and educational development. This title is an opportunity for the university to reward and draw attention to particularly skilled and pedagogically aware teachers. Those appointed distinguished university teacher receive a salary increment corresponding to that awarded upon appointment as docent. Teachers awarded this title are expected to take an active part in quality enhancement activities for their subject field and the university as a whole. • **Senior miljöanalysspecialist** (Swedish only) is an SLU title as part of our quality enhancement activities in environmental monitoring and assessment. The title is an opportunity for the university to reward and draw attention to particularly skilled environmental analysts with special collaboration skills. Those appointed this title receive a salary increment. Researchers awarded this title are expected to take an active part in linking environmental monitoring and assessment to research.
20. Seniority (Code)	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • The **Appointment procedures for teachers at SLU** clearly determine how staff are to be appointed and promoted. As a Swedish university, these appointment and promotion procedures are tied to regulations in the Discrimination Act, the Higher Education Act and the Higher Education Ordinance. Teachers refers to both teachers and researchers and a teaching position includes both teaching and research.

			• General assessment criteria for the appointment of teachers
21. Postdoctoral appointments (Code)	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • SLU follows the national collective agreement on post-doc positions (Swedish only). • General qualification requirements are formulated in the Appointment procedures for teachers at SLU. Teachers refers to both teachers and researchers and a teaching position includes both teaching and research.
Working Conditions and Social Security			
22. Recognition of the profession	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • All researchers are recognised as professionals and are treated accordingly. At the beginning of doctoral studies, all candidates have employment contracts with full social security provision, either at SLU or with collaborating partner organisations (does not apply for postdocs and doctoral students on stipend). Besides the common values for state employees (see principle 1) the four additional values for SLU employees describes how staff should be handled and fostered to act.
23. Research environment	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • Specialised equipment and various laboratories • Unlimited access to a large number of electronic international scientific journals in all fields covered by SLU's research, in addition to a large number of relevant international and national databases. • Researchers are offered courses for personal professional development, i.e leadership training through, through the Group for Sustainable Academic Leadership in the Academy and the

<table>
<tr><td colspan="4">Division of Human Resources. For research career funding support is offered by <u>Grants Office.</u>
• Language training
• Office space, up-to-date IT facilities and telephone access. Various platforms for video communication. Internet access.
• All researchers at SLU have access to professional support in several areas relevant for efficient management of research projects, including Human Resources, proposal development, project management, legal issues, data management, GDPR, bibliometrics etc.
• <u>Research infrastructure SLU</u> offers a wide array of research infrastructure available for both researchers at SLU, other universities or companies.
• <u>SUNET</u> (Swedish University Computer Network) is a research infrastructure that meets the need for data communication at Swedish universities and other public organisations in connection with research or higher education. SUNET also provides services to affiliated organisations. SUNET is a part of the Swedish Research Council (Swedish only).</td></tr>
</table>

| 24. Working conditions | ++ | **Relevant legislation - No impediments identified.** | **Organisational regulations/Procedures**
• <u>Staff policy at SLU</u> People are SLU's most important resource for fulfilling our university's visions and objectives.
• <u>Work environment policy</u>
• <u>Values for SLU</u>
• <u>SLU wellness policy</u>
• <u>Wellness activities at SLU</u> SLU aims to be a healthy workplace. In addition to ensure employees' mental, social and physical wellbeing, wellness activities are part of our systematic work environment management. Wellness activities |

			are preventive and health-promoting measures that help staff maintain a good work-life balance. • Wellness allowance SLU employees receive a yearly wellness allowance for any activity that complies with the Swedish Tax Agency's guidelines for tax-exempt wellness activities etc. • Guidelines for independent work • Guidelines concerning victimisation • Staff development review • The salary review process • SLU guidelines on discrimination • SLU staff have access to a website on threats and harassment stating that SLU has zero tolerance for threats and harassment toward employees, students and our operations. Generally, zero tolerance means that the university does not accept using unlawful influence to pressure someone, for personal gain or to negate other basic university systems. On the website, instructions are given on how to report an incident. • Staff surveys SLU conducted staff surveys in 2016, 2018 and in 2021. • A PhD student satisfaction survey is conducted every third year, the last one in 2020. • The staff survey is part of the systematic work on environment management and promotion of equal opportunities. It is also a way to sound out the current situation at SLU and is a basis for continuing efforts to develop the university's reputation as a good employer. • Policy for availability and email etiquette at the NJ Faculty • The VH Faculty's policy for availability, email and meeting etiquette

			• [SLU's leadership concept](#) expresses the fundamental approach to leadership that SLU management wants to permeate/characterise leadership at SLU. • [Safety representative](#) (Swedish only) Each campus at Umeå, Uppsala and Alnarp has its own safety representative organisation at SLU. At each campus, the safety representatives' activities are coordinated by one or several main safety representatives. The organisation is currently under investigation. • SLU has six local [working time agreements](#) (Swedish only), of which one concerns teachers. For teachers and researchers at SLU there is a working time agreement between the Swedish Employers' Agency and the labour unions SACO/S och OFR/S. Who is covered by the agreement is stated in the appendix. • SLU conducts [systematic work environment management](#).
25. Stability and permanence of employment	+/-	**Relevant legislation** - **No impediments identified.** **Gap identified:** SLU's information to early career researchers on aspects such as employment, salary and social benefits is scattered and inadequate. **Gap identified:** Post-docs on stipend are not legally considered employees and are thus an organisational challenge for SLU.	**Organisational regulations/Procedures** • [Appointment procedures for teachers at SLU](#) • [Academic career and ceremonies](#) • SLU follows [the national collective agreement on post-doc positions](#) (Swedish only). • Doctoral studies in Sweden comprise four years full-time studies. • All PhD candidates have employment contracts with full social security provision, either at SLU or with collaborating partner organisations (does not apply for doctoral students with stipend). **Suggestions for improvement:** Develop coherent information to early career researchers covering aspects such as career development,

			employment, salary and social benefits (see **Action Plan, action 12**).
			Suggestions for improvement: Conduct survey on conditions for post-docs on stipend (see **Action Plan, action 14**).
			Suggestions for improvement: Mapping of post-docs on stipend as part of the annual complication (see **Action Plan, action 15**).
			Suggestions for improvement: Survey on why departments accept post-docs on stipend (see **Action Plan, action 16**).
26. Funding and salaries	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • Individual salaries are based on objective grounds such as responsibility, complexity of the tasks, the individual's results and skills in relation to the goals for the organisation, as described in the SLU salary policy. • Salaries are usually revised on an annual basis, and depend on agreements made with local labour union representatives as well as at the national level. • Salary levels for doctoral student positions are fixed and have a standard progression based on achieving certain performance targets. Salary levels are internationally competitive. Doctoral studies in Sweden comprise four years' full-time study. • Social security benefits in Sweden are relatively generous for employees in all categories and levels. • Parental benefit (Swedish only) is paid out for 480 days per child. • Each year, SLU welcomes a number of foreign students, postgraduate students and

			researchers (Swedish only). Doctoral student salary agreement (Swedish only)
27. Gender balance	+/-	**Relevant legislation - No impediments identified.** **Gap identified:** The share of female professors does not fall within the equal opportunities 40/60 interval (see also principle 10).	**Organisational regulations/Procedures** SLU continuously works to achieve an even gender balance among all categories of staff, including senior management. Members in advisory or decision-making bodies, external experts for a specific matter and recruitment committees have to be quantitatively gender equal. • Organisation and working methods for SLU's work with gender equality and equal opportunities. From July 2019, SLU has a new organisation for work on equal opportunities and gender equality. The aim is to include a gender equality perspective in all processes at the university. There is a coordination group supporting this work, consisting of staff from SLU's Divisions of Planning, Educational Affairs and Human Resources. • Gender mainstreaming action plan • In addition to the SLU Gender mainstreaming action plan, the Faculty of Forest Sciences has its own gender mainstreaming action plan (Swedish only) and a mandatory course in gender mainstreaming for board members and teachers. • Gender Equality and equal opportunities at SLU • Appointment procedures for teachers at SLU • Delegations of authority • The SLU Board's delegation of authority • Vice-chancellor's delegation of authority • Delegation of authority for the university administration (Swedish only)

			[Delegation of authority at the LTV faculty](#) (Swedish only) [Delegation of authority at the NJ faculty](#) (Swedish only) [Delegation of authority at the VH faculty](#) (Swedish only) [Delegation of authority at the S faculty](#) (Swedish only) - Departments must annually draw up competency maintenance plans that consider gender balance. **Initiatives undertaken:** This gender gap at professors' level is already identified and is included in a proposed action plan linked to SLU's strategy 2021-2025 and is thus not included in this action plan. The proposed action to achieve equal career paths and opportunities for funding, the "mapping and proposals for action" in the gender mainstreaming plan need to include measures that follow-up the work to increase the share of female professors. **Suggestions for improvement:** To ensure coherence and efficiency of actions between this action plan, the action plan for the SLU strategy and the gender mainstreaming plan, regular meetings (at least twice per term) between the coordinator (for the implementation phase) and the division

			of planning are to be conducted. See principle 14.
28. Career development	+/-	**Relevant legislation – Impediment:** The Higher Education Ordinance and the Higher Education Act do not mention joint employment for veterinary sciences. Higher Education Ordinance, Chapter 4, §2 Higher Education Act, Chapter 3, § 8	**Organisational regulations/Procedures** • Departments must annually draw up competencey maintenance plans ensuring that the competence needed to reach the department goals is available, in both the short and the long term. • Staff development review is conducted annually • Pedagogic courses and seminars • Educational consulting – teaching online and educational development support online. • Guidelines for the appointment of docents at SLU • Senior miljöanalysspecialist for SLU employees that mainly work with environmental monitoring and assessment (Swedish only). • Distinguished university teacher • Swedish language courses. The Division of Human Resources arranges courses for Swedish as a foreign language. • Associate senior lecturer is a temporary career-development position with the aim to acquire further research qualifications in order to take the next step on the career ladder and be promoted to senior lecturer. • SLU leadership (Swedish only). • SLU Alumni (Swedish only) • Future Faculty was established in 2018 by young researchers for young researchers, aiming to promote the career development of early career researchers. Young researchers at SLU are free to join the organisation. • SLU Post-doc association (SLUPA) • Focus - Forum for career development at SLU

			• [Grants Office](#) Provides training in proposal development, supports researchers in identifying funding opportunities and building individual strategies for external funding, also offers hands-on support in proposal writing. • [Publish and analyse](#) • [Writing and language support](#) via the Biblio Café Employees can use [InEnglishPlease@slu.se](#) to ask for translation of documents available only in Swedish (documents or other information at SLU's websites). • [Staff development review](#) • SLU is a [EURAXESS service centre](#) **Suggestions for improvement:** See principle 25.
		Gap identified: SLU's information to early career researchers on aspects such as employment, salary and social benefits is scattered and inadequate. **Gap identified:** SLU lacks a clinical-academic career path and thus also opportunities to evaluate applicants in a consistent and transparent manner.	**Initiatives undertaken:** There is an ongoing project regarding the career path for a clinical-academic career and is thus not included in this action plan. **Suggestions for improvement:** Status report of HRS4R action plan is a re-occurring matter at weekly meetings of the division of human resources.
29. Value of mobility	+/-	**Relevant legislation - No impediments identified.** **Gap identified:** See principle 16 and 18 for experience of mobility as a judging merit.	**Organisational regulations/Procedures** • [Staff and teacher mobility](#) • Grants Office support [MSCA](#) applications to stimulate the mobility of young researchers (R1+R2) • [URA](#) agreement. URA is a central framework agreement with guidelines for terms of employment when serving abroad and applies

			to employees who must be stationed abroad while serving abroad. The entire agreement is found here.
			Suggestions for improvement: See principle 16 and 18.
			Suggestions for improvement: Monitor the number of international researchers at SLU by ordering relevant statistics from Statistics Sweden (Statistiska Centralbyrån). See **Action Plan, Action 20.**
30. Access to career advice	+/-	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • SLU is a member of the EURAXESS which aims to support researcher mobility and researcher career development, and to make vacancies for researcher positions within Europe visible. • Focus - Forum for career development at SLU • Staff development review • Jobs and vacancies at SLU • SLU Alumni SLU story • Grants Office offers advice regarding external funding • SLU Postdoc Association (SLUPA) represents postdocs and early career researchers from all SLU campuses. SLUPA works to assist postdocs in their new position at SLU through support when settling in Sweden, career development

			opportunities and networking with other postdocs across different fields. • Future Faculty aims at promoting the career of early career researchers at SLU. Career-promoting seminars, workshops and social activities are organised. SLU Future Faculty is part of the National Junior Faculty in Sweden. **Suggestions for improvement:** See principle 16, 18, and 29. **Suggestions for improvement:** See principle 25 and 28.
		Gap identified: See principle 16, 18 and 29 for experience of mobility as a judging merit. **Gap identified:** SLU's information to early career researchers on aspects such as employment, salary and social benefits is scattered and inadequate.	
31. Intellectual Property Rights	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • SLU Holding • Policy for scientific publishing at SLU • SLU Legal Affairs Unit provide support and advice.
32. Co-authorship	+/+	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** Publishing results is a fundamental part of scientific work. Through publication, results are disseminated and communicated to the rest of the scientific community and the public. Co-authorship is encouraged and SLU strives to follow the Vancouver convention. However, this is not regulated. Under the aspect of misconduct in research, SLU brings up the regulations for co-authorship, i.e. which type of contribution gives

			a person the right to be listed as co-author of a certain work. • Guidelines are available for the order of authors of papers produced at SLU. • In the Intellectual property rights policy aspects of authorship and citations are addressed in section 8. • The University Library provides information on publication ethics and publication strategies regarding authorship, as part of the doctoral student course in information retrieval. • Co-authorship is addressed in the doctoral supervision course • The annual bibliometric report takes co-authorship into account. Likewise, co-authorship is analysed in the evaluation of strong and excellent research groups. • Manual for managing research material
33. Teaching	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • Local collective agreements (which are not translated in order to prevent misunderstanding. Contact with the Division of Human Resources is recommended in the case of questions) regarding the annual workload of teaching staff. "Teaching staff" refers to both teachers and researchers. Supervision of doctoral students is considered a teaching duty. • All teaching staff, including doctoral students (R1 researchers), have access to a number of pedagogical training courses, of which some are mandatory for a permanent position as a university teacher, and one is mandatory for doctoral students involved in teaching. The

			Division of Learning and Digitalisation is responsible for the pedagogical development within the university and the digital support within education. • SLU has six local working time agreements (Swedish only), of which one specifically concerns teachers. For teachers and researchers at SLU there is a working time agreement reached between the Swedish Employers' Agency and the labour unions SACO/S och OFR/S. Who is covered by the agreement is stated in the appendix to the text of the agreement (see principle 24).
34. Complains/ appeals	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** At SLU, there are several procedures for handling complaints and appeals. • For doctoral students, there is a doctoral student counsellor. • Regular employee surveys and the annual work environment inspection (physical and social) are followed up at the individual appraisals (see principle 11). • The Division of Human Resources provides support in conflict management, victimisation and systematic work environment management.
35. Participation in decision-making bodies	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • Delegations of authority • The SLU Board's delegation of authority • Vice-chancellor's delegation of authority • Delegation of authority for the university administration (Swedish only). • Delegation of authority at the LTV faculty (Swedish only)

			• Delegation of authority at the NJ faculty (Swedish only) • Delegation of authority at the VH faculty (Swedish only) • Delegation of authority at the S faculty (Swedish only) • Organisation and working methods for SLU's work with gender equality and equal opportunities. • Equal opportunities at SLU • Researchers at SLU have the opportunity and are encouraged to get involved in decision-making bodies at many different levels, as regulated in steering documents such as each faculty's Delegation of authority (see principle 7). Students, including doctoral students, have the right to be represented in all elected governing bodies at the university. • Advertisements for vacant positions as professor can list support of the strategic development of the department and faculty as a duty. • Language use at SLU is regulated primarily by the Swedish language Act and by SLU's own language policy and language guidelines. To a great extent, SLU is an international workplace with responsibility for ensuring that all employees understand and are able to participate in many activities. Therefore, it is important to create a parallel-language environment to the extent possible and to offer courses in the Swedish language.
Training and Development			

| 36. Relation with supervisors | +/- | **Relevant legislation - Impediment:** The Higher Education Ordinance does not include employment as postdoc.

Higher Education Ordinance (1993:100)
Chapter 6, § 28: 'At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principle supervisor. The doctoral student* is entitled to supervision during his or her studies unless the vice- chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor.'
*A PhD candidate is called a "doctoral student" in Swedish." | **Organisational regulations/Procedures**
• Doctoral supervision is regulated in the Admission regulations and more specific in the University guidelines for doctoral education
• A Checklist for introduction of new doctoral students to doctoral education exists to safeguard that doctoral students receive an introduction to their rights and obligations from their respective department.
• As a complement to introduction routines at departmental and faculty levels, SLU offers a short online introductory course to all new doctoral students.
• Rights and obligations for doctoral students All doctoral students must have an individual study plan (ISP) The individual study plan describes the commitments of the doctoral student and the university, respectively, An update is made annually, or when necessary.
• Doctoral students (R1 researcher) checklist for forms of cooperation (annual follow-up)
• The Council for PhD Education's guide for formulating individual intended learning outcomes to meet degree outcomes
• Doctoral students have the right to change supervisors.
• There is a doctoral student ombudsman/ counsellor (R1 researchers) (see also principle 31)
• Doctoral students (R1 researchers) can participate in faculty and departmental meetings according to the faculty's delegation of authority (see principle 7), as well as annual appraisal talks with departmental management. |

		Gap identified: There is no structure for post-doc mentorship in contrast to PhD education.	**Suggestions for improvement:** Investigation on needs of mentorship for post-docs (see **Action Plan, action 13**).
37. Supervision and managerial duties	+/-	**Relevant legislation - No impediments identified.** **Gap identified:** See principle 36 for post-doc mentorship.	**Organisational regulations/Procedures** SLU has developed a leadership concept that describes what should signify a leader at SLU. Leadership and employment The Group for Sustainable Academic Leadership offers various types of courses for managers and leaders. • Doctoral student course "Leading organisations, projects and processes". • SLU's Educational Development Unit initiated a meeting forum for doctoral supervisors to help them to improve their skills. This includes additional training for individual supervisors, supervisor groups, seminars, workshops and lunch colloquia. **Suggestions for improvement:** See principle 36.
38. Continuing Professional Development	++	**Relevant legislation** **No impediments identified.**	**Organisational regulations/Procedures** • Professional development is discussed and followed-up in the annual appraisal talks. • SLU Postdoc Association (SLUPA) represents postdocs and early career researchers from all SLU campuses. SLUPA works to assist postdocs in their new position at SLU through support when settling in Sweden, career development opportunities and networking with other postdocs across different fields. • Future Faculty aims at promoting the career of early career researchers at SLU. Career-promoting seminars, workshops and social activities are organised. SLU Future Faculty is part of the National Junior Faculty in Sweden.

			• National and international conferences arranged by external funders • Seminars and conferences arranged by SLU, sometimes in collaboration with authorities or non-academic part. • Annual Staff Development reviews All SLU employees must have an annual, prepared and structured dialogue with their immediate manager. The review aims to further the individual's and department's/division's development by evaluating the past and discussing what could be developed in the future.
39. Access to research training and continuous development	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** • Learning and Digitalisation – The Division of Learning and Digitalisation supports SLU's teaching staff and others who are active in education through consultation, project management, courses and seminars such as 1) Supervising doctoral students, 2) Course in grading and assessment, 3) Education for critical thinking and criticality, 4) Education for sustainable development, 5) Teaching Active E-learning workshop. • General doctoral student courses in addition to the subject-specific courses. • Annual Staff Development reviews All SLU employees must have an annual, prepared and structured dialogue with their immediate manager. The review aims to further the individual's and department's/division's development by evaluating the past and discussing what could be developed in the future (see also principle 38).

			• Mentoring programme for doctoral students at SLU. It brings together doctoral students interested in independent, extracurricular support and senior researchers willing to support young colleagues in the early stages of their career. • PhD students and other early-career researchers can also take part in the yearly staff development review within each department. It is an opportunity to address aspects of the supervision process on a higher level and to receive additional career support • For early-career researchers support is also available via Future Faculty at SLU: SLU Future Faculty aims at promoting the career of early career researchers at SLU. Career-promoting seminars, workshops and social activities are organised. SLU Future Faculty is part of the National Junior Faculty in Sweden. They organise career-promoting seminars and workshops. They monitor issues of interest to early career researchers, such as career structure and career support at SLU.
40. Supervision	++	**Relevant legislation - No impediments identified.**	**Organisational regulations/Procedures** Regulations for doctoral supervision are found in the University guidelines for doctoral education. Rights and obligations for doctoral students At least two supervisors are appointed for each doctoral student. One of them is nominated as the principle supervisor. The Individual Study Plan (ISP) describes the commitments of the doctoral student and the university, respectively. An update is made annually, or when necessary.

			[Doctoral Supervision course](#) is mandatory for all co-supervisors and main doctoral supervisors at SLU. - All PhD students are informed about their rights and obligations regarding the supervision process via the [Doctoral education portal](#) - In case of problems with the supervision process PhD students have access to a [doctoral student ombudsman/counsellor](#) - To safeguard the quality of the supervision process each department has a Coordinator of PhD studies who has responsibility for yearly follow-up of the individual study plan and the follow-up for the half-time seminar. This person supports supervisors and doctoral students when there are questions or issues that they cannot solve themselves. A [Checklist for introduction of new doctoral students to doctoral education](#) exists to safeguard that doctoral students receive an introduction to their rights and obligations from their respective department - SLU offers an [Online introductory course for doctoral students](#) which gives all new doctoral students relevant information on their rights, the supervision process and contact details to staff that can assist them if problems with the supervision should occur.