



TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review: **Örebro University, Örebro, Sweden**
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PROCESS (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues.¹ These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4², as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the gap analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

The HRS4R process at ORU was initiated by the Vice-Chancellor in the middle of 2017. A *Steering Group* (overseeing committee) was appointed consisting of the Pro-Vice Chancellor for Internationalisation and External Affairs, the University Director, the HR Director, one of the Heads of School³ and one of the Faculty Deans. This group empowered a *Project Group* to carry out the practical tasks of the process. This group, headed by a member of the HR Department includes representatives from R1-R3 researchers, communication office, internationalisation board, the coordinator of an EU-funded COFUND doctoral student programme, a member of ORU Junior Faculty, a member of the Section for Doctoral Students, a member of the Office for Academic Policy, a member of ORU's Grants Office. The group had a particularly close contact during the whole process with the Pro-Vice Chancellor, which is why an R4 researcher was not included in the Project Group. ORU has worked together with other Swedish universities during the whole process under the auspices of the Swedish Association for Higher Education (SUHF). SUHF also organised a seminar in Brussels in November 2017 with presentations from various units within the European Commission.

The Project Group has carried out a number of presentations, with discussion fora, to all levels of researchers (R1 to R4) as well as technical and administrative staff (see separate file). This enabled the group to narrow down the 40 points to seven areas where gaps of varying dignity were perceived. In addition there was a questionnaire to staff to gain feedback on the gaps identified. During the process, the following groups within the university have also been consulted: Working Group of the Deans and Vice-Deans, ORU Junior Faculty, the Faculty Boards, the International Board, the University Executive, the Section for Doctoral Students, the Vice-Chancellor's Research Advisory Group.

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. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

¹ The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career, level, type of contract etc. etc.

² For a description of R1-R4, please see

https://cdn5.euraxess.org/sites/default/files/policy_library/towards_a_european_framework_for_research_careers_final.pdf

³ ORU has eight "schools". In other universities, these might be called Departments. Departments at ORU refer to administrative units.

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Ethical and Professional Aspects			
1. Research freedom	+	<p>National/regional legislation Research in Sweden is bound by the Swedish Higher Education Act 1992:1434, chap 1 §6.</p> <p>The following general principles are applicable:</p> <ul style="list-style-type: none"> • research issues may be freely selected, • research methodologies may be freely developed, • research results may be freely published. <p>In addition, there are a number of statutes that regulate the publication of research data:</p> <ul style="list-style-type: none"> • Freedom of Speech Act (YGL 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. • Freedom of Press Act (TF 1949:105) The freedom of press is understood to mean the right of every Swedish citizen to publish written matter, without prior hindrance by a public authority or other public body, and not to be 	<p>Organisational regulation Research freedom is one of the pillars of research in Sweden and as a state university, ORU is committed to following the national legislation. Researchers are free to publish their results and own their findings, which they can individually benefit from.</p> <p>ORU will continue to follow legislation and any changes made thereto and will advise incoming international researchers of the legislation and researchers’ rights and obligations.</p>

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		prosecuted thereafter on grounds of its content other than before a lawful court, or punished therefore other than because the content contravenes an express provision of law, enacted to preserve public order without suppressing information to the public.	
2. Ethical principles	+	<p>National/regional legislation The Act (2003:460) concerning the Ethics Review of Research Involving Humans. Proposal in progress⁴</p> <p>Animal Welfare Act (SFS 1988:534) This Act applies to the care and treatment of domestic animals and laboratory animals. It also applies to other animals if they are kept in captivity.</p>	<p>Organisational regulation The following describe how ethical principles are handled at ORU:</p> <ul style="list-style-type: none"> • The Swedish Research Council has recently published a guide to Good Research Practice, which will be distributed to all new incoming researchers. • Ethical principles are discussed during the Introductory Programme that is offered to all incoming personnel. In addition, the Swedish government offers two sources of information on a good governance culture, one and two (this link is in Swedish and cannot be automatically translated).

⁴ A memorandum ([Ds 2016:12](#)) is in progress (September 2016), containing proposals aimed at adapting Swedish legislation regarding the ethical review of research involving humans to the EU ordinance (EU no 536/2014) on clinical trials on medicinal products. If the proposal is accepted and legislated, the regulation will become directly applicable to researchers working in Sweden.

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		<p>The Swedish Research Council (Sw. <i>Vetenskapsrådet</i>, VR) is an authority within the Ministry of Education and Research. It has a leading role in developing Swedish research of the highest scientific quality, thereby contributing to the development of society.</p> <p>In the beginning of 2004, independent authorities of ethical vetting were established consisting of a Central Ethical Review Board and six local boards. The authorities are under supervision of the Parliamentary Ombudsman and the Chancellor of Justice, and ensure the supervision of compliance with the Ethical Review Act and the regulations issued under the Act.</p> <p>Further assistance for researchers in ethical matters can be found here.</p>	<ul style="list-style-type: none"> Ethical principles are also taken in during an internal ORU course on Supervising Research Students. ORU has guidelines regarding bribery and corruption for employees at the university (reg. no. CF 10-688/2010, only available in Swedish). The Vice-Chancellor has already taken steps to introduce an Ethical Council (<i>etiskt råd</i>) (reg. no. ORU 1.1-01928/2016, only available in Swedish). The introduction of this council is dependent on discussions currently being carried out at a national level. Misconduct in research is handled as recommended here. Ethics in research is also dealt with in the Individual Study Plan (ISP) for doctoral students (see point 36) and here. <p>ORU views the continuing internal and national developments in ethical standards to be sufficient, rather than devoting a special action to this area. ORU will undertake to make available all internal ethical regulation documents in English and ensure that they are easily available (in printing and online forms) to incoming researchers.</p>
3. Professional responsibility	+	<p>National legislation</p> <p>The Swedish Higher Education Act 1992:1434, § 3a</p>	<p>Organisational regulation</p> <p>Much of the local handling of information regarding professional responsibility at ORU has been mentioned in point 2 above, namely:</p> <ul style="list-style-type: none"> ORU course for Supervising research students.

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		<p>In the course of their operations, higher education institutions shall uphold academic credibility and good research practice.</p> <p><u>The Administrative Procedure Act (1986:223)</u> This Act applies to the handling of matters by administrative authorities (e.g. universities).</p>	<ul style="list-style-type: none"> • Vice-Chancellor’s Ethical Council. • Courses in research communication (see sections 8 & 9) • Courses in innovation in research and handling of IPR • Guidelines regarding bribery and corruption. • Doctoral student supervisors are only appointed by the respective faculty if they fulfil certain assessment criteria. • Guidelines for supervisors. • Stipulated in the Individual Study Plan for third-cycle studies (see point 36). <p>ORU will continue to follow legislative requirements and develop according to best practice.</p>
4. Professional attitude	+	<p>National legislation The professional attitude is unambiguously linked to professional responsibility and the contractual and legal obligations to which each researcher must adhere.</p> <p>The Swedish legislation embraces ethical aspects in a number of laws and regulations, referred to in this document under each paragraph, and thus set the frames for each researcher’s personal accountability.</p>	<p>Organisational regulation At ORU, the following services and steps are involved in ensuring a professional attitude towards research activities:</p> <ul style="list-style-type: none"> • Professional attitude is taken up during the introductory programme for incoming staff. • Handling of research projects is taken up in the courses for Supervising Research students. • ORU Grants Office advises researchers regarding research funding and the requirements of funding agencies.

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			<ul style="list-style-type: none"> • ORU Post-contract Office assists researchers during the course of externally financed projects by advising contractual rights and obligations, assisting in administrative activities and helping with contacts with funding agencies. The office provides a central point of contact for researchers regarding legal aspects, handling of IPR, research utilisation, etc. • In the <i>Individual Study Plan</i> (required through the Swedish Higher Education Ordinance), the doctoral student and the supervisor must inform the University whether the research project is delayed, redefined, or completed. • Researchers are advised of the strategic goals governing their research environment as well as the university as a whole through regular research meetings and information meetings held by the Vice-Chancellor. • No research projects may be started without the necessary ethical approvals. Such approvals may cover the use of personal information, ethical requirements, pharmaceutical testing, use of biobanks, radiation safety etc. All these are covered by strict national or EU legislation.
5. Contractual and legal obligations	+/-	<p>National legislation</p> <p>The following national legislation may apply depending on the research area:</p> <ul style="list-style-type: none"> • Act (1960:729) on Copyright in Literary and Artistic Works 	<p>Organisational regulation</p> <p>At ORU, the following services and steps are involved in ensuring that contractual and legal obligations are fulfilled:</p>

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		<ul style="list-style-type: none"> • The Patent Act (1967:837) • Act (1949: 345) on the Right to Employee Inventions • Design Protection Act (1970:485) • The Trademark Act (2010:1877) • The Trade Names Act (1974:156) • Act (1992:1685) on the protection of topographies of semiconductor products • The Plant Breeders' Rights Act (1997:306) • The Names Act (1982:670) • The Swedish Higher Education Act (1992: 1434), Chapter 1 § 6 <p>Further, please see preamble.</p>	<ul style="list-style-type: none"> • Contractual and legal obligations as well as rights are taken up during the introductory programme for incoming staff. • Handling of research projects is taken up in the courses for Supervising Research students. • ORU Grants Office advises researchers regarding what contractual and legal obligations will need to be considered if a funding proposal is granted. • ORU Post-contract Office assists researchers during the course of externally financed projects by advising about contractual rights and obligations, assisting in administrative activities and helping with contacts with funding agencies. The office provides a central point of contact for researchers regarding legal aspects, handling of IPR, research utilisation, etc. • In the <i>Individual Study Plan</i> (required through the Swedish Higher Education Ordinance), the doctoral student and the supervisor must inform the University whether the research project is delayed, redefined, or completed. • Researchers are advised of the strategic goals governing their research environment as well as the university as a whole through regular research meetings and information meetings held by the Vice-Chancellor. • ORU Legal Office ensures that all agreements made with third parties must contain information on how intellectual property rights are

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			<p>handled. The Legal Office checks are contracts for external financing involving collaborative research, particularly involving companies.</p> <ul style="list-style-type: none"> • There are innovation advisors for each of ORU’s eight schools who ensure that researchers receive the best possible advice for exploiting their research results. • In addition, ORU Innovation promotes and develops socially-beneficial ideas emerging from education, research and the community. It provides a wealth of expertise and support, as well as valuable access to contacts within academia. <p>We have identified that, although many of the necessary processes are already in place, there is a lack of written information that can be handed out to newly incoming researchers. The result is that not all researchers are aware of their rights and obligations.</p> <p>We do not regard this as a gap that requires a specific point in the Action Plan. The work will be carried out as part of ORU’s Internationalisation activities.</p> <p>We have recently identified a gap regarding lack of awareness in project participants of rights and obligations in externally funded projects. This gap is resolved in the Action Plan, section 5.</p>

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6. Accountability	+	<p>National legislation The Swedish Higher Education Act 1992:1434, § 4 The operations of higher education institutions shall be organised to ensure that high standards are attained in educational courses and study programmes as well as <u>in research</u>. The resources available shall be used effectively to sustain a high standard of operation. Quality assurance procedures are the shared concern of staff and students at higher education institutions. Ordinance (2013:119).</p>	<p>Organisational regulation A majority of the research funding at ORU derives from public funds and therefore there should be transparency and availability of the research carried out.</p> <p>The following describes ORU’s activities with respect to accountability:</p> <ul style="list-style-type: none"> • ORU Communication Office trains researchers in public outreach, to be able to inform the general public about the university’s research. Researchers and research group are encouraged to hold event opening up research to the general public. • Research funding agencies are increasingly demanding that results are published in Open Access journals. This is also a requirement at ORU. • Due to the Freedom of Information Act, any organisation or private person has the ability to request information of any sort from the university. The university is obliged to provide such information within a specific period of time. Some research results can be withheld if they potential commercial applicability. • ORU is currently working to implement Open Data repositories so that data can be accessed by other researchers and the general public. <p>Gaps have been identified with respect to archiving of information and the implementation of Open Data practices. These will be addressed in the</p>

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			Action Plan regarding Open Data, see section 7. Good practice in research / IT security and Open Data on page 5 in the Action Plan, and in 7. below.
7. Good practice in research	+/-	<p>National legislation Relevant national legislation includes:</p> <ul style="list-style-type: none"> • Work Environment Act (1977:1160) • The Personal Data Act (1998:204) • Archives Act (1990:782) • Public Access to Information and Secrecy Act (2009:400) 	<p>Organisational regulation There are a number of national and international legislations that ORU, as a state university, is bound to follow to ensure a safe working environment. To this end, ORU has an Environmental Officer who is responsible for ensuring the university’s compliance with regulations, including but not restricted to REACH.</p> <p>ORU IT Department has the central responsibility for electronic data storage. Some data is stored on university servers that are thoroughly monitored and backed up, other data is stored in the cloud using a central service provided by SUNET (Swedish University computer Network, a unit within the Swedish Research Council, VR). Local data storage, on individual computers, is firmly discouraged.</p> <p>ORU Office for Academic Policy (Archive Unit) is responsible for ensuring that the documents are archived in a form that complies with current legislation.</p> <p>ORU University Library is currently working on a plan for Open Data storage of research results. While not currently implemented, strategies, policies and logistics are currently being investigated.</p>

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			<p>The Personal Data Act (PUL), a Swedish legislation, is being replaced by the European General Data Protection Regulation (GDPR). ORU currently has dedicated GDPR personnel working to ensure that the university is compliant with EU legislation before the end of May 2018.</p> <p>Data storage, open data and GDPR are viewed as gap areas and are further discussed in the Action Plan regarding GDPR and Open Data, see section 7. Good practice in research, pages 4-6 in the Action Plan.</p>
8. Dissemination, exploitation of results	+	<p>National legislation The Swedish Higher Education Act (1992:1434), Ch. 1, 2 and 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.</p>	<p>Organisational regulation Essentially all research funding bodies now require a dissemination plan in funding applications. This plan must detail dissemination to peers as well as to all levels in society, from national and international decision-makers to the general public. Furthermore, in other funding applications, commercialisation plans (innovation management) are also required. ORU handles these requirements in a number of ways:</p> <ul style="list-style-type: none"> • ORU Grants Office (GO) advises researchers the requirements for dissemination and commercialisation plans for individual funding agencies. The office maintains close contacts with funding bodies. GO services are available to all levels of researchers, R1 to R4. • ORU Communications Office advises researchers regarding communications plans and assists in the practical production of press

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			<p>releases, presentations etc. The office also provides media training so that researchers are more able to handle questions from journalists and to be able to present their research in a succinct and easy-to-understand way.</p> <ul style="list-style-type: none"> • ORU Innovation Office assists researchers in innovation management, advising on product development, licencing, company formation and providing some levels of funding for commercialisation. In Sweden, rights to research results are owned by the individual researcher, not the employer, which means that commercialisation through an own company is a normal process. • Researchers are encouraged to give presentations to the general public and ORU has, in the past, been very active in the Marie Skłodowska-Curie European Researchers’ Night. • ORU is the first Swedish university to recruit <i>collaboration lecturers</i>, currently four in engineering. There is a particular focus on collaboration with the business and industry, primarily in manufacturing, logistics and IT. The role of senior lecturer for external collaboration is to participate in collaboration with the surrounding community fifty per cent of the time. One third of the position includes conducting self-initiated research – which may also involve collaboration with industry. The remaining twenty per cent is linked to undergraduate education. <p>While ORU has made significant advances in the dissemination and exploitation of results, there is still more work to do in optimising the</p>

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			processes and ensuring that all researchers are aware of what is on offer. One area that needs to be developed is the content of the English version of the oru.se website. This is further discussed in the Action Plan, page 4, General gaps.
9. Public engagement	+	<p>National legislation The Swedish Higher Education Act (1992:1434), Ch. 1, 2 and 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.</p>	<p>Organisational regulation Public engagement is a relatively new and essential requirement for researchers. Since most research is funding by public funds, it is necessary to information the general public of research results and offer the possibility of interaction.</p> <ul style="list-style-type: none"> • ORU Communications Office advises researchers regarding communications plans and assists in the practical production of press releases, presentations etc. The office also provides media training so that researchers are more able to handle questions from journalists and to be able to present their research in a succinct and easy-to-understand way. • Researchers are encouraged to give presentations to the general public and ORU has, in the past, been very active in the Marie Skłodowska-Curie European Researchers’ Night. • ORU is the first Swedish university to recruit <i>collaboration lecturers</i>, currently four in engineering. There is a particular focus on collaboration with the business and industry, primarily in manufacturing, logistics and IT. The role of senior lecturer for external collaboration is to participate

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			<p>in collaboration with the surrounding community fifty per cent of the time. One third of the position includes conducting self-initiated research – which may also involve collaboration with industry. The remaining twenty per cent is linked to undergraduate education.</p> <ul style="list-style-type: none"> Public engagement does not constitute a gap in our analysis but it can always be improved, refined and extended.
10. Non-discrimination	+	<p>National legislation Discrimination Act (2008:567) The purpose of this Act is to combat discrimination and in other ways promote equal rights and opportunities regardless of sex, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age.</p> <p>The Swedish Secretariat for Gender Research has been commissioned by the Swedish government to support all state-funded higher education institutions in their gender mainstreaming efforts 2016–2019.</p> <p>The government has requested that all state-funded higher education institutions in Sweden</p>	<p>Organisational regulation</p> <ul style="list-style-type: none"> ORU’s Vice-Chancellor has commissioned an Action Plan for Gender Mainstreaming to be drawn up. This Action Plan is expected to be in place and running during 2018 and fully implemented by the end of 2020. Defined by the Council of Europe, Gender Mainstreaming is the (re)organisation, improvement, development and evaluation of policy processes, so that a gender equality perspective is incorporated in all policies at all levels and at all stages, by the actors normally involved in policymaking. ORU has been given a requirement by the government that 51 per cent of professors recruited 2017-2019 should be female. During 2016, ORU recruited 38 per cent female professors. ORU has an Action Plan for Equality and Gender Equality.

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		<p>develop a gender mainstreaming plan 2016–2019. The purpose of the initiative is for the higher education sector to contribute towards the nationally declared gender equality objective of women and men having equal power to shape society and their own lives. The government identifies equal career opportunities in academia among areas of particular importance. The plans shall also describe how gender equality will be integrated into the institutions’ everyday operations, such as in management processes. Plans are to be presented by 15 May 2017 with continuous reporting of implemented measures and results.</p>	
11. Evaluation/appraisal systems	+	<p>National legislation From an employer’s point of view, there is no national legislation regarding evaluation/appraisal systems.</p> <p>However, from the funder’s perspective, the Swedish Research Council (Sw. <i>Vetenskapsrådet</i>, VR) conducts various types of evaluations of research, both evaluations of research topics</p>	<p>Organisational regulation At ORU, there are/have been a number of different evaluation and/or appraisal systems, including:</p> <ul style="list-style-type: none"> • ÖRE2010 – an external evaluation by national scientists of ORU’s research and its quality. This resulted in strategic funding streams for certain research programmes. • ORU2015. This was a follow-up of ÖRE2010, conducted in a similar fashion but with an external international grading committee.

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		<p>(such as mechanics or Literature) and evaluations of government-initiated research efforts, the latter more frequent.</p> <p>The focus of the evaluations is on scientific quality, though aspects such as strategic management at the university level and research impact may occur.</p> <p>Responsibility for the compliance with ethical guidelines rests with the academic institution. Evaluation may lead to a redistribution of funds within the framework of an ongoing effort.</p> <p>The Swedish Higher Education Authority (UKÄ) has been recently given the responsibility of evaluating and monitoring PhD programmes.</p>	<ul style="list-style-type: none"> • Application for Docent (Associate Professor) involves an evaluation process. • Each year, every employee at ORU, including researchers at all stages, has an individual appraisal with their direct supervisor/manager. Much of these discussions are based on performance but also training and career plans, working environment etc. This is the opportunity for the researcher to discuss personal development, conference attendance etc. It is normal to set goals, for both parties, which are followed up during the next appraisal. • On a frequent basis (every 2-3 years), there is a general employee survey at ORU (next survey is due in the spring of 2018). The results of this survey are used to check factors such as working environment, management’s success in disseminating policy, etc.

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Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. In addition , your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.			
12. Recruitment	+	<p>National legislation</p> <p>The Instrument of Government The Instrument of Government Chapter 11, Section 9: “When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account.”</p> <p>The Public Employment Act in Swedish (1994:260) The Public Employment Act Section 4: “When making appointments only objective factors such as service merits and competence shall be taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist.”</p> <p>The Swedish Higher Education Act (1992:1434)</p> <p>The Higher Education Ordinance (SFS 1993:100)</p>	<p>Organisational regulation</p> <p>ORU has a policy that all recruitment shall be open, transparent and attractive for the best qualified people who, with their competence, can contribute to the university’s development. Recruitment is nationally regulated for openness and transparency through legislation. In addition, national agencies are legally bound to take into account worthiness and ability in their recruitments. In addition to legislation, the following also guide recruitments at ORU:</p> <ul style="list-style-type: none"> • Appointments procedure • Guidelines for recruiting teaching staff • Career paths in the Appointments Procedure • Recruitment process with standardised routines and templates for advertising, recruitment and employment. The job profile must be agreed prior to recruitment and is used in the assessment process. • Action Plan for gender equality <p>Equality and gender equality shall be embodied at all levels at ORU. An approach and an atmosphere that promote equality and gender equality as fundamental values are paramount in the University’s efforts to realise its vision of quality education, prominent research and dynamic business and community engagement. They also play a significant role in recruiting and retaining the most competent students</p>

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		Discrimination Act (SFS 2008:567)	and staff. The aim of the Action Plan is that recruitment and assessment process as well as employment conditions will guarantee equal opportunities for career development within academia. <ul style="list-style-type: none"> • ORU will handle a return to a research career following management duties through sabbatical periods.
13. Recruitment (Code)	+	<p>National legislation The Instrument of Government The Instrument of Government Chapter 11, Section 9: “When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account.”</p> <p>The Public Employment Act in Swedish (1994:260) Section 4: When making appointments, only objective factors such as service merits and competence shall be taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist.</p> <p>The Swedish Higher Education Act (1992:1434)</p>	<p>Organisational regulation See point 12.</p> <ul style="list-style-type: none"> • Guidelines for recruiting teaching staff. • Career paths in the Appointments Procedure. • Every recruitment process must be approved by the appropriate faculty dean. • ORU uses the web-based Reach Mee recruitment system. • Action Plan for equal opportunities. • Our recruitment system contains templates for all academic staff positions, which include a description of the required knowledge, desired qualifications – both general and specific to the field. • Collective agreements for teaching staff and also here.

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		The Higher Education Ordinance (SFS 1993:100) Discrimination Act (SFS 2008:567)	
14. Selection (Code)	+	National legislation The Swedish Higher Education Act (SFS 1992:1434) The Higher Education Ordinance (SFS 1993:100)	Organisational regulation The composition of the Academic Appointment committees is clearly regulated in the ORU policy document “ <i>Instruktion och arbetsordning för fakultetsnämnderna</i> ” ORU 1.2.1-02266/2015 and “ <i>Fakultetsnämndernas lärarförslagskommittéer – instruktion och arbetsordning</i> ” ORU 1.2.1-01452/2016. These documents will be translated into English as stated in the Action Plan, General gaps, page 4. Experts and members are evenly distributed in terms of gender, faculty, etc. External members, students and doctoral students are represented. Different selection methods are applied such as interviews, test lectures and contacting of referees. External experts review the documentation. Applicants must be assessed on the basis of the criteria set forth in the job vacancy advertisement and the general requirements of the individual type of academic post.

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			Quality assurance meetings with a review of the recruitment process are carried out twice per month.
15. Transparency (Code)	+	<p>National legislation</p> <p>The Swedish Higher Education Act (SFS 1992:1434)</p> <p>The Higher Education Ordinance (SFS 1993:100) According to the Higher Education Ordinance (SFS 2010: 1064) Chapter 2, § 2, the University Board shall determine employment regulations (Sw. <i>anställningsordning</i>) that the university must apply, together with the rules of appointment and promotion of teachers.</p> <p>Employment Ordinance (1994:373)</p> <p>Public Access to Information and Secrecy Act (2009:400)</p> <p>Please note: see preamble document.</p>	<p>Organisational regulation</p> <p>ORU uses a web-based recruitment system called <i>Reach Mee</i>, which offers a standardised application process.</p> <p>Applicants are informed, in the job advertisements as well as on ORU’s website (see point 12), about guidelines for recruitment.</p> <p>Applicants are continually informed about the recruitment process by e-mail via <i>Reach Mee</i>.</p> <p>Support documents and guidelines to be made available to the applicants are determined either by the Vice-Chancellor or the HR-manager. Recruitment materials are published on the ORU website.</p> <p>The Public Access to Information Act also applies to recruitments.</p>

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16. Judging merit (Code)	+/-	<p>National legislation The Public Employment Act (SFS 1994:260) §4 Merits and competence The Higher Education Ordinance (SFS 1993:100), chapter 4</p>	<p>Organisational regulation ORU’s Appointments Procedure details general assessment criteria, starting points for assessing scientific and artistic skills, pedagogical skills and other relevant (e.g. industrial) skills.</p> <p>Guidelines for preparation and decisions on recruiting teaching staff and assessment for higher authorisation also regulate parts of the selection process.</p> <p>However, the following gaps have been identified and are currently being addressed:</p> <ol style="list-style-type: none"> 1. Possible gaps in the assessment of international candidates at R1 and R2 level. 2. Assessment of publications that are not written in English (or a Scandinavian language). In the application forms, it is suggested that non-English publications are translated but this is unlikely to happen given the costs involved. R3 and R4 level researchers rarely have relevant publications that are not in English. 3. Problems with getting suitable reviewers for non-European applicants (able to assess education and research).

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17. Variations in the chronological order of CVs (Code)	+	National legislation Not relevant. Anställningsförordningen + diskrimineringslagen	Organisational regulation Apart from the standardised forms to complete in <i>Reach Mee</i> , applicants submit their own CVs and letters of application. This leaves great freedom to the applicant to express their experience in their own way, e.g. evidence-based. However, career breaks should be explained, as stated in the instructions for application. Applicants may submit their CVs either in an evidence-based or time-based format. The time-based format is more common within academia.
18. Recognition of mobility experience (Code)	+	National legislation	Organisational regulation ORU sees mobility, both transnational and transdisciplinary, as advantageous and valuable. <ul style="list-style-type: none"> • ORU is the first Swedish university to recruit a wide range <i>collaboration lecturers</i>. There is a particular focus on collaboration with the business and industry, primarily in manufacturing, logistics and IT. The role of senior lecturer for external collaboration is to participate in collaboration with the surrounding community fifty per cent of the time. One third of the position includes conducting self-initiated research – which may also involve collaboration with industry. The remaining twenty per cent is linked to undergraduate education. • ORU Grants Office supports researchers in writing proposals for outgoing and incoming researchers, for instance through Marie Skłodowska-Curie Individual Fellowships.

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			<ul style="list-style-type: none"> In the current ORU International Strategy Document 2015-2020, staff mobility is recognised as important and the goal is to increase the number of in- and outgoing staff. ORU’s Internationalisation Action Plan prioritises actions to achieve a real international signature of competence, culture and atmosphere. Staff with an international background should be encouraged and supported to be engaged in strategic and management positions.
19. Recognition of qualifications (Code)	+	<p>National legislation The Higher Education Ordinance (SFS 1993:100) According to the Higher Education Ordinance (SFS 2010: 1064) Chapter 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 The Appointments Procedure at ORU details clear criteria for when and how assessments should be carried out. Non-formal qualifications cannot replace formal qualifications, but are perceived as positive in many research subjects. The following are therefore also taken into account:</p> <ul style="list-style-type: none"> Publications, using bibliometrics. Pedagogic merits. Patents/inventions.
20. Seniority (Code)	+	<p>National legislation The Higher Education Ordinance (SFS 1993:100) According to the Higher Education Ordinance (SFS 2010: 1064) Chapter 2, § 2, the University Board shall set employment regulations (sw. <i>anställningsordning</i>) that the university applies</p>	<p>Organisational regulation ORU, as a state university, is bound by the Discrimination Act and the Higher Education Ordinance.</p> <p>ORU has an Action Plan for Equality and Equal Opportunities (see point 10) as well as an Appointments Procedure and Guidelines for recruitment.</p>

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		<p>together with the rules of appointment and promotion of teachers.</p> <p>Discrimination Act (2008:567) The purpose of this Act is to combat discrimination and in other ways promote equal rights and opportunities regardless of sex, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or <u>age</u>.</p>	<p>There are also guidelines for employment once pension age (65 years old) are reached.</p>
21. Postdoctoral appointments (Code)	+	<p>National legislation Employment Protection Act 1982:80 (LAS) § 5 Employment Protection Act (machine translation)</p> <p>Collective agreement for Post-doc positions The agreement applies to employees employed as post-docs and who shall primarily carry out research. Teaching can also be included in the duties, but at most one-fifth of working hours. A prerequisite for the application of this agreement is that the employee has not previously been employed as a post-doc under this agreement for</p>	<p>Organisational regulation At ORU, we follow the national collective agreement on post-doc positions.</p> <p>ORU has recently advertised 16 positions as Assistant Lecturers. These are intended to provide a natural career progression for post-docs. These positions are seen by the management as a step towards university leaders of the future.</p> <p>Post-doctoral appointments are also regulated in the ORU Appointments Procedure.</p>

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		more than a year within the same or related subject area at the same institution/ authority.	
Working Conditions and Social Security			
22. Recognition of the profession	+	<p>National legislation The Swedish Higher Education Act 1992:1434 chapter 1, §6 and chapter 2 §6.</p>	<p>Organisational regulation Doctoral students at ORU are, on the whole, employed on standard work contracts. Stipends are rare and not recommended.</p> <p>All research staff at ORU are recognised as professionals and treated accordingly at all levels of their careers.</p> <p>As part of their professional development, research staff (particularly at the post-doctoral stage) are encouraged to apply for their own research funding. To help them with applications, ORU Grants Office offers courses and individual assistance in applying to specific funders. ORU Post-contract Office then helps them to administer their grants.</p>
23. Research environment	+	<p>National legislation The following national legislations govern, amongst others, health and safety issues at work</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977:1160 The Work (machine translation)) 	<p>Organisational regulation See also 24 below.</p> <p>The research environment at ORU that of collaboration and discussion. All researchers have the opportunity to discuss their results with colleagues</p>

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		<ul style="list-style-type: none"> • The Work environment ordinance (SFS 1977:1166) • Discrimination Act (SFS 2008:567) • Social Insurance Act (SFS 2010:110) • Flammable and explosive goods act (SFS 2010:1011) • Flammable and explosive goods ordinance (SFS 2010:1075) • Protection against accidents act (SFS 2003:778) • Protection against accidents ordinance (SFS 2003:789) • The Environmental Code (SFS 1988:808) • Parental leave act (SFS 1995:584) 	<p>and supervisors and are encouraged to present their results at seminars, both internal and external.</p> <p>During the Introductory Programme for all ORU personnel, staff are informed of all the facilities available to them, notably but not exclusively:</p> <ul style="list-style-type: none"> • All staff are provided with office space, as well as lab space, including all necessary IT facilities and telephone access. • Research staff have free-of-charge access to many different national and international databases and journals through the University Library. • Staff have the opportunity to attend many different courses, outside of their research areas in such subjects as: grant writing, commercialisation of research, fire safety training, heart-lung resuscitation, first-aid etc. • Research staff have access to any of the infrastructural facilities at ORU, such as specialised equipment. • Staff can attend any internal seminars, no matter what the subject, and where possible external seminars. • Language training for non-Swedish speakers is offered. • Social programmes for international staff are offered. • Video conferencing facilities are available throughout the university in special rooms and individual computers supplied to staff contain video conferencing software. • The university music school offers free concerts, which provide an ideal and local means of relaxing.

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			<ul style="list-style-type: none"> • Heavy investments are being made in certain strategic areas. • There are many research projects run in collaboration with industry and the public sector, which encourage interdisciplinarity and mobility. • Investments are being made in local infrastructure through a new ORU fund. <p>International and intersectoral collaboration are encouraged. Funding advice is available through ORU Grants Office and ORU Innovation Office to assist collaboration. ORU also has very close collaboration with local and national actors including municipalities, county councils and schools, offering access to sources of research material.</p> <p>However, we can be better as regards internationalisation (part of the university’s new vision), more industry projects, and a better external research funding mix.</p>
24. Working conditions	+	<p>National legislation The following legislation covers working conditions in Swedish workplaces:</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977: 1160) • The Work Environment Ordinance (SFS 1977:1166) • Discrimination Act (SFS 2008:567) 	<p>Organisational regulation See also 23 above.</p> <ul style="list-style-type: none"> • Access to university facilities for disabled researchers is governed by national legislation. • ORU has a specific group that handles such questions for students, including doctoral students.

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		<ul style="list-style-type: none"> • Social Insurance Act (SFS 2010:110) • The Environmental Code (SFS 1988:808) • Parental Leave Act (SFS 1995:584) 	<ul style="list-style-type: none"> • For other researchers, it is the responsibility of the researcher’s supervisor and the head of school to discuss solutions for accessibility and other necessary aids. • There are Safety Officers at each department and school, whose roles are partly to handle work environment questions. • Sweden is renowned for its generosity in adapting work to the needs of family life. Paid maternity leave and paternity leave are governed by law. • Research by nature is not a profession with standard working hours and ORU allows great flexibility in working times. Such flexibility has to be agreed in advance with the researcher’s line manager. There are local collective agreements that govern employees’ working time that also offer flexibility in planning working time. • Researchers in the public sector with children have right to work part-time. This is regulated by the Parental Leave Act. • Where necessary and depending on the type of research, teleworking is possible following agreement with the researcher’s line manager. • Sabbaticals are encouraged particularly for R3 and R4 level researchers. All efforts, together with ORU Grants Office, are made to secure external funding for such sabbaticals. • Holiday allowances in Sweden are very generous, compared to other countries. The allowances vary between 28 and 35 days per year, depending on the age of the person.

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			<ul style="list-style-type: none"> On a regular basis, the university carries out a major employee survey that covers subjects including: leadership, health, safety, discrimination, management, understanding of university goals, working environment etc. This gives the individual employee a chance to give an opinion. However, the results at an individual employee level are not identifiable.
25. Stability and permanence of employment	+/-	<p>National legislation Employment Protection Act (SFS 1982:80) Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below:</p> <ul style="list-style-type: none"> Probationary period, not exceeding six months General temporary-term employment (ALVA) Substitute employment Seasonal work Workers from age 67 <p>General temporary ALVA (SFS1982:80 §5a) A worker may be employed for a defined time on a general temporary employment, ALVA. There are no specific conditions for employment</p>	<p>Organisational regulation</p> <ul style="list-style-type: none"> R1 researchers – at ORU, almost all R1-level researchers are employed and are not on stipends. The salary levels for such researchers are fixed and have a standard progression based on performance targets. The salary levels are quite competitive. Doctoral studies in Sweden are based on four years, rather than three years in most other EU countries. R2 researchers – ORU, like many other universities in Sweden has been working hard to stop multiple, short-term post-doc employments. National legislation forbids multiple short-term employments in the same role. ORU has now introduced a new personnel category known as Assistant Lecturer, which is a permanent employment aimed at creating tomorrow’s university (research) leaders. For R3 and R4 researchers, employment is usually permanent from the beginning, apart from semi-mandatory probation periods of six months. At ORU, any researcher who has organised their own external financing for 2 or more years is offered an employment of indefinite duration.

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		<p>according to ALVA. Though, when a worker has been employed with the support of the ALVA in aggregate more than two years during the last five years, the employment is transformed to a permanent employment. Other temporary employment besides ALVA does not qualify for a permanent position.</p> <p>Further, the following legislation covers employment in Sweden:</p> <ul style="list-style-type: none"> • Employment Regulation (1994:373) • Act 2002:293 prohibiting discrimination against part-time workers and workers with fixed-term contracts • Regulation of higher education (SFS 1993:100, chapter 4-5) • The Higher Swedish Education Act (1992:1434) <p>New changes to the Higher Education Act from 1 July 2018 that strengthen the status of doctoral students in Sweden on stipends and scholarships. See information here.</p>	

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26. Funding and salaries	+	<p>National legislation National collective agreements exist between employers and the unions. These ensure that researchers receive a contractual salary and equitable social security provisions.</p> <p>The Legal, Financial and Administrative Services Agency (<i>Kammarkollegiet</i>) provides a national group insurance covering all foreign scientists doing research.</p>	<p>Organisational regulation</p> <ul style="list-style-type: none"> Sweden offers very generous social security benefits for employees at all levels. Payment for sickness leave is between 80 and 90 per cent. Maternity and paternity leave is 90 per cent of the person’s salary for a period of 365 days. Pension payments: at least 4.5 per cent of the researcher’s annual income during the whole working life is set aside for future pension withdrawals. Employment benefits are shown here and here. At ORU, almost all R1-level researchers are employed and are not on stipends. The salary levels for such researchers are fixed and have a standard progression based on achieving performance targets. The salary levels are quite competitive. Doctoral studies in Sweden are based on four years, rather than three years in most other EU countries. Salary revisions are usually made on an annual basis, and depend on agreements made with the unions represented at the university and at national level.
27. Gender balance	+	<p>National legislation</p>	<p>Organisational regulation</p> <p>The current gender balance levels at ORU are:</p> <ul style="list-style-type: none"> All employees: 57 per cent female, 43 per cent male. Research and teaching personnel: 755 people (392 female, 363 male). Administrative and technical personnel: 414 people (274 female, 140 male).

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			<ul style="list-style-type: none"> • Doctoral students with employment contracts: 152 people (90 female, 62 male). • Professors, as of end of 2016: 132 (42 female, 90 male). Goal for new recruitment 2017-2019 – 51 per cent female professors. <p>Action plan for Gender Mainstreaming in Academia (see point 10).</p>
28. Career development	+/-	<p>National legislation The Higher Education Ordinance (SFS 1993:100), chapter 6, §§28, 29</p> <p>Proposal in progress⁵</p>	<p>Organisational regulation Careers for researchers span many different areas – academia, academic administration, industry/private enterprises, European Commission/ WHO and such, banks such as World Bank, NGOs, healthcare, teaching etc. It is important for researchers to understand what choices are available to them. It is also important that researchers wishing to remain within academia are offered a natural career pathway to pursue.</p> <p>The Appointments Procedure includes a clear career path (see point 12)</p> <p>For all levels of researchers, various complementary courses are available, e.g. grant writing, entrepreneurship, statistics etc. In addition, media</p>

⁵ A proposal is in progress, based on government directive Ds 2015:74 and on a subsequent report. *Security and attractiveness – research careers for the future* ([SOU 2016:29](#), Security and Attractiveness – A Research Career for the Future) will suggest new guidelines for research, higher education and research-related innovation including improved general conditions for students and researchers as well as increased mobility within the field of research and higher education.

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			<p>training programmes are available for researchers to learn how to handle journalists.</p> <p>For R2/3 level researchers, there is a university development programme covering all aspects required for research leadership – grants, legal, financial, personal development etc.</p> <p>A Junior Faculty (JF) has recently started at ORU. JF will promote a better academic environment for junior and early-career researchers. It aims to support individual career development of young researchers, facilitate information flow between various organisational levels of the university, and provide a platform for networking and interdisciplinary collaboration.</p> <p>See Action Plan, 28. Career Development, page 10.</p>
29. Value of mobility	+/-	National legislation	<p>Organisational regulation</p> <p>ORU sees mobility, both transnational and transdisciplinary, as advantageous and valuable. The university conducts a large amount of applied research together with industry (due to one of our major funders) and therefore mobility is always close to hand.</p> <ul style="list-style-type: none"> • ORU was one of the first Swedish universities to recruit <i>collaboration lecturers</i>. There is a particular focus on collaboration with the business and industry, primarily in manufacturing, logistics and IT. The role of senior lecturer for external collaboration is to participate in

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			<p>collaboration with the surrounding community fifty per cent of the time. One third of the position includes conducting self-initiated research – which may also involve collaboration with industry. The remaining twenty per cent is linked to undergraduate education.</p> <ul style="list-style-type: none"> • ORU Grants Office supports researchers in writing proposals for outgoing fellowships and incoming researchers, for instance through the Marie Skłodowska-Curie Individual Fellowships. <p>In the current ORU International Strategy Document 2015-2020, staff mobility is recognised as important and the goal is to increase the number of in- and outgoing staff. ORU’s Internationalisation Action Plan prioritises actions to achieve a real international signature of competence, culture and atmosphere. Staff with an international background should be encouraged and supported to be engaged in strategic and management positions.</p> <p>For a further discussion of mobility, see Action Plan, 29. Mobility, page 11.</p>
30. Access to career advice	-/+	National legislation	<p>Organisational regulation See also 28 above. A Junior Faculty (JF) has recently started at ORU. JF will promote a better academic environment for junior and early-career researchers. It aims to support individual career development of young researchers, facilitate</p>

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			<p>information flow between various organisational levels of the university, and provide a platform for networking and interdisciplinary collaboration.</p> <p>ORU also informs its researchers of the career advice available through The Young Academy of Sweden. In addition, a number of unions with university personnel as members offer career advice, e.g. the Swedish Union of University Graduates of Law, Business Administration and Economics, Computer and Systems Science, Personnel Management, Professional Communicators and Social Science (Jusek), and the Swedish Association of Professional Scientists (Naturvetare)</p> <p>ORU understands that career advice and guidance is an important gap that needs to be addressed. This is taken up in the Action Plan, 28. Career Development, page 10.</p>
31. Intellectual Property Rights	+	<p>National legislation</p> <p>The most important legislation is the following Act, which gives ownership of results to the individual researcher.</p> <p>Act (1949: 345) on the Right to Employee Inventions</p> <p>Further information is also included in:</p>	<p>Organisational regulation</p> <p>See also point 5.</p> <p>All incoming international researchers to ORU are informed during the introduction programme of their rights regarding IPR.</p> <ul style="list-style-type: none"> • ORU Innovation Office offers courses in innovation in research and handling of IPR. • ORU Legal Office ensures that all agreements made with third parties must contain information on how intellectual property rights are

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		<p>The Swedish Higher Education Act (1992:1434 §3a)</p> <p>Further, The Association of Swedish Higher Education has issued the following guidelines for universities: Principles for handling intellectual property in research agreements (published in Swedish, machine translated in this link).</p>	<p>handled. The Legal Office checks are contracts for external financing involving collaborative research, particularly involving companies.</p> <ul style="list-style-type: none"> In addition, ORU Innovation Office offers a number of services to researchers regarding innovation and utilisation of research results. ORU Innovation proactively approaches researchers to inform them of how researcher can be utilised, either commercial or socially (social innovations).
32. Co-authorship	-/+	<p>National legislation</p> <p>There is no Swedish legislation regarding co-authorship in research.</p>	<p>Organisational regulation</p> <p>ORU strives to follow the recommendation in the Vancouver Convention as regards co-authorship. However, there is a difference in praxis between the various subject areas in the university – for instance, praxis within medicine differs from that in history.</p> <p>Co-authorship is discussed during the obligatory ORU course in supervision of doctoral students as well as in the guidelines for assistant/associate professorships.</p> <p>Although individual subject areas may have guidelines for co-authorship, a gap has been identified in that ORU must have a clear policy regarding co-authorship. This must also take into account national and international guidelines.</p>

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33. Teaching	+	<p>National legislation The Higher Education Ordinance, chapter 5, section 2 Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.</p>	<p>Organisational regulation Although research is the primary task of researchers, it is hoped at ORU that many early-stage researchers will become lecturers of the future and therefore, teaching experience is essential.</p> <p>R1 researchers can be involved in teaching activities to a maximum amount of 20 per cent of full-time. Remuneration is such that further research time is given <i>in lieu</i>.</p> <p>The involvement in teaching by R2 and R3 researchers is not regulated and depends on the terms of employment for the researcher in question and individual wishes.</p> <p>R4 researchers are expected to carry out teaching to the level specified in the employment contracts (some professors have a higher quantity of teaching than others). Professors have a mandatory 20 per cent competence development time, expected to be devoted on their own development.</p> <p>At ORU, the time that R3 and R4 researchers spend supervising R1 (and R2) researchers is calculated as research time, not teaching time. This system is applied at most Swedish universities and is therefore regarded as national praxis.</p>

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34. Complaints/ appeals	+	<p>National legislation Various articles of national legislation and guidelines cover complaints and appeals:</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977:1160) • Systematic work environment activities (AFS 2001:1), SAM, regulations • Organisational and social working environment (AFS 2015: 4) • Discrimination Act (SFS 2008:567) 	<p>Organisational regulation At ORU, there are a number of channels for handling complaints, appeals and grievances.</p> <ul style="list-style-type: none"> • For R1 researchers, there is an ombudsman for doctoral students, see also ORU description. • R1 researchers can also take up their grievances with the doctoral student section of the ORU Student Union. • R1 researchers also have the right, after providing motivation, to exchange their supervisor (see also point 36). • During the recruitment process of staff, there is an appeal process against the process of the appointment, and the appointment <i>per se</i>. This does not apply to doctoral student positions. • There is a Working environment policy at ORU, which is followed up at individual annual appraisals and during the regular employee surveys. • There is an Equal opportunities policy where complaints are handled by the university lawyers. • The HR Department provides support in cases of conflict, as does the occupational health service at the university.
35. Participation in decision-making bodies	+	<p>National legislation</p>	<p>Organisational regulation As a researcher at ORU, it is possible to become involved with decision-making bodies at many levels:</p>

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			<ul style="list-style-type: none"> • Becoming a member of the board for the doctoral student section of the ORU Student Union. • Becoming a member of the board of the ORU Junior Faculty. • Representation (collective) on a faculty board. • Becoming a member (through voting) of the university board (collective). • Becoming a departmental safety officer, with responsibility for safety and the working environment (including psychosocial).
Training and Development			
36. Relation with supervisors	+	<p>National legislation The Higher Education Ordinance, Chapter 6, section 28: At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student is entitled to supervision during his/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.</p>	<p>Organisational regulation A set of guidelines covers Third-cycle Courses and Study Programmes at ORU. Further information is shown here.</p> <p>An individual study plan (ISP) is drawn up for each doctoral student. The plan includes:</p> <ul style="list-style-type: none"> • the obligations and rights of the university and the research student • a time plan for the doctoral student’s studies. <p>According to local regulations, the ISP shall also include:</p> <ul style="list-style-type: none"> • information about how the doctoral student’s supervision is organised • what is otherwise necessary for studies to be conducted as efficiently as possible.

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			<p>The plan is adopted after consultation between the doctoral student and his/her supervisors. The ISP is regularly followed up – at least once each year – and amended by the university as required, after consultation with the doctoral student and his/her supervisor. Each doctoral student must have a valid ISP at any time.</p> <p>The individual study plan shall be reviewed regularly and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. 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 a trade union or student organisation, or parental leave. See Higher Education Ordinance.</p> <p>Chapter 6, Section 30: Entitlement to supervision and other resources If a doctoral student substantially neglects his or her undertakings in the individual study plan, the vice-chancellor shall decide that the doctoral student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in the individual study plan.</p>

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			<p>A written record of the decision shall be made, which is to include reasons for the decision.</p> <p>Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant. See Higher Education Ordinance.</p> <p>Chapter 6, section 31: If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the vice-chancellor, recover his or her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope or in some other way, that he or she can fulfil his or her remaining undertakings in the individual study plan. See Higher Education Ordinance.</p>
37. Supervision and managerial duties	+	National legislation	<p>Organisational regulation</p> <p>Supervising researchers, at R3 and R4 levels, are required, along with the doctoral student, to draw up and regularly review an Individual Study Plan (see point 36).</p> <p>In addition, at each school at ORU, there are unit heads whose roles are determined by the schools’ own internal management organisation.</p>

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			Training of supervising personnel is obligatory and courses are provided. Further, there are voluntary management training programmes that are offered to all managers and supervisors at ORU.
38. Continuing Professional Development	+	National legislation	<p>Organisational regulation At ORU, continuing professional development is encouraged and is seen as a merit in future employments.</p> <ul style="list-style-type: none"> • R3 and R4 level researchers are given at least 20 per cent of a full-time position to devote to professional development. • There is a Centre for Academic Development at ORU (PIL) that works closely with schools and faculties to support teachers in their academic development. • There are many courses and seminars offered by the university, which researchers can attend during working hours. These courses can be subject-specific of complementary, such as grant writing and entrepreneurship. • Researchers can apply for funds, internal and also Erasmus funds obtained by the university, to attend external courses and seminars. • For some strategic investments, the university management funds special development programmes lasting for a longer period of time and covering all aspects of research and personnel management.

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			<ul style="list-style-type: none"> • Support is provided for researchers who wish to continue their research careers outside academia. • Financial support is available for researchers to change careers, outside of research. <p>New courses and training available to researchers are continually under development. New courses can be developed both at the request of researchers or as a national requirement.</p>
39. Access to research training and continuous development	+	National legislation	Organisational regulation See point 38.
40. Supervision	+	National legislation The Higher Education Ordinance (SFS 1993:100)	Organisational regulation See point 36.
Any additional issues			
			None

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Annex: Open, Transparent and Merit-based Recruitment Checklist					
	<i>Open</i>	<i>Trans- parent</i>	<i>Merit- based</i>	<i>++ Yes, completely +/- Yes, substantially -/+ Yes, partially -- No</i>	<i>Suggested indicators (or form of measurement)</i>
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	+/-	As a state university, ORU is bound by national legislation governs our recruitment processes. OTM-R practices are included in documents such as: Vision, Goals and Strategies. For ORU, the following also apply: the policy on employeeship, International Strategy and Action Plan, HR policy on Recruitment of teaching and research staff. All these documents are published in Swedish and English on our intranet, Inforum.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++	Recruitment guides (updated regularly) for all types of positions are published on our intranet, Inforum.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-	There are no training programmes at ORU for OTM-R <i>per se</i> . However, there is an introduction course for all people new to leadership positions that covers HR areas. Further, all leaders are offered courses in diverse areas of leadership. There is a close relationship between leaders (they may not necessarily be described as manager) and the HR department. The HR department is involved in all matters regarding recruitment. Some 16 members of the HR department (almost all) have been trained in OTM-R.

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4. Do we make (sufficient) use of e-recruitment tools?	x	x		++	ORU uses of <i>Reach Mee</i> , a web-based tool for almost all stages in the recruitment process
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	In all of ORU’s recruitment processes, there are control points to ensure that we remain in line with legislation and our own guidelines and policies.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	All candidates are encouraged to apply for positions. We have a large proportion of external candidates for most advertised positions. For research positions, many candidates are not resident in Sweden. By law it is forbidden to register nationality so ORU don’t have figures regarding employees from abroad.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	See above.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	There is an increasing trend in the proportion of applicants among underrepresented groups (frequently women). This is also a goal in our Action Plan for Gender Mainstreaming in Academia. ORU is also very open to candidates with other challenges. It can be noted here, for instance, that Örebro is the “Swedish capital” for those who are hard of hearing and a national centre for sign language.

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9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	We are seeing an increasing trend in the proportion of applicants from outside our organisation. This is partly due to the attractive working conditions at ORU, and in Sweden as a whole.
10. Do we have means to monitor whether the most suitable researchers apply?				+/-	Our recruitment targets are continuously monitored. All operations within the university have competence provision plans that help guide recruitments with a long-term perspective. We are also working with our “brand” and market ourselves towards identified target groups to attract the most suitable candidates.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	We have clear, published guidelines for how positions are to be advertised.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report ⁶]	x	x		++	Links are included in all advertisements, see here and pages thereunder.

⁶ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

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13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++	All international job advertisements are posted on EURAXESS.
14. Do we make use of other job advertising tools?	x	x		++	We use discipline-specific recruitment channels as well as ResearchGate , Eures , LinkedIn, Facebook and University Positions . Individual personal contact networks are often used to circulate information on advertisements.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)]	x			++	Candidates apply via a web-based recruitment system and all matters related to the application can be handled electronically (except non-electronic scientific publications such as books).
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a)]		x	x	++	ORU does not maintain statistics on the composition of panels but the composition and appointment of committees are regulated.
17. Do we have clear rules concerning the composition of selection committees?		x	x	++	See point 16.
18. Are the committees sufficiently gender-balanced?		x	x	++	See point 16.

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19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	++	There are processes and formal decisions that are required regarding specification profiles prior to recruitment. There are also written and published guidelines for external experts.
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Information is usually provided by email, or by telephone if necessary. Justifications of the choice of a candidate are listed in the selection committee's protocol.
21. Do we provide adequate feedback to interviewees?		x		++	Feedback is provided by email, or by telephone if necessary. By email or phone call. Justifications of the choice of a candidate are listed in the selection committee's protocol.
22. Do we have an appropriate complaints mechanism in place?		x		++	There is a specific complaints and appeal process. See point 34 in the Gap analysis.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				+/-	This is monitored regularly by ORU's Internal Audit Unit, which is responsible only to the University Board. See here and pages thereunder.

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