

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

**“A Human Resources Strategy for Researchers incorporating the Charter and Code”, HRS4R**

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## Internal analysis and action plan

– preparation for implementation of principles of Charter and Code

**OBS! Denna mall är en äldre mall som inte ska användas vid inlämning av ansökan. Ansökan ska lämnas elektroniskt och mallar publicerade på Euraxess och SUHFs hemsidor ska användas.**

**Denna äldre mall innehåller dock information om det svenska lagrummet för varje gällande enskild punkt i stadgan, samt en ingress som kortfattat beskriver de lagar och regelverk som är specifika för svenska förhållanden, vilket kan vara er behjälpliga i ert arbete med ansökan.**

**2018-08-11**

**University/Institute of Higher Education, City, Sweden**

**Date: xxxxxx**

**Accountable authority: xxxxxxxxxxxx**

## **Preamble - Clarification regarding the basic conditions for researchers working in Sweden**

### **Swedish labour law in general**

The Swedish labour legislation generally applies to all sectors in the Swedish labour market. The legislation assures employees fundamental rights, such as employment security, vacation and regulated working hours.

In addition, there are laws that apply only to the government sector. This could be, for example, regarding the appointment procedure and disciplinary sanctions. A majority of the Swedish universities and institutes of higher education is under governmental authority. Over 90% of the academic staff is employed within the state sector.

Government employees are also insured special rights based on the Swedish Constitution, for example, a broad right to criticize their employer.

In comparison with many other European countries, the Swedish labour legislation is not particularly extensive or detailed. It is mainly to be seen as protective legislation guaranteeing employees a basic protection. Instead, the employees' terms of employment are governed mainly by collective agreements. The Swedish labour market is characterized by a high degree of organisation and a low level of organisational fragmentation.

### **Collective agreements**

Collective agreements complement the labour law. There are both central and local collective agreements.

The central collective agreements apply either within the entire government sector or part of it, for instance the higher education sector.

For the government sector, there are central collective agreements, which regulate pensions, holiday pay during leave and compensation for personal injury. There are also central collective agreements that allow specific grounds for temporary employment.

At the universities/institutes of higher education, the parties may conclude local collective agreements. The space for what can be regulated by local collective agreements is determined by law and the central collective agreements. Among the issues more closely regulated by local collective agreements is the distribution of working hours. Sweden has chosen to regulate by law that the terms of collective agreements in the government sector also apply to unorganised workers. That means that an individual worker who is not unionised, is still embraced by the regulations of the collective agreement.

In the personal employment contract, the parties may more closely regulate the conditions of employment, provided that it does not contradict law or collective agreement.

It is common that the parties in the individual contract specify the conditions for the initial basic salary and where the work is to be performed.

### **The recruitment procedure**

The government employment process differs from other sectors.

According to the Swedish Constitution, the decision for government contracts shall pay regard to objective factors only, such as merit and competence, of which competence should be of prime consideration.

### **Appeal**

An applicant who has been rejected an appointment, has the right to appeal the decision of appointment. The appeal is heard by a special board. If the appeal is approved, the appellant should be offered the appointment, instead of the person that first received the appointment.

### **Transparency**

Within the government sector, the employment procedure is specifically regulated, for instance how to inform about vacancies and how employment decisions should be notified. Application documents are public documents and therefore other candidates, as well as the public, have the right to access the documents.

### **The principle of public access to official documents**

The principle of public access to official documents is a basic principle of our constitution. It means that the public and the media have the right to inspect state and municipal activities. The principle is expressed in various ways;

- everyone is entitled to read the documents of public authorities: access to official documents;
- officials and others who work for the state or municipalities are entitled to say what they know to outsiders: freedom of expression for officials and others
- officials and others in the service of the state or municipalities are normally entitled to disclose information to newspapers, radio and television for

publication or to personally publish information: right to communicate and publish information;

The principle is regulated by fundamental laws;

[Freedom of Press Act \(Tryckfrihetsförordningen\) TF 1949:105](#)  
[Freedom of Speech Act \(Yttrandefrihetsgrundlagen\) YGL 1991:1469](#)

However, there are provisions on confidentiality according to Swedish law, limiting the right to access official documents as well as in the public officials' right to freedom of expression.

These provisions can be found in;

[The Secrecy Act \(Swedish Code of Statutes 2009: 400\)](#)  
[\(Offentlighets- och sekretesslagen\)](#)

### Definitions researcher

The definition of researcher follow the definition set by the European commission, thus the Frascati definition according to below link,  
<http://ec.europa.eu/euraxess/index.cfm/rights/definitions>

For the purpose of this Recommendation the internationally recognised Frascati definition of research<sup>17</sup> will be used. Consequently, researchers are described as;

*"Professionals engaged in the conception or creation of new knowledge, products, processes, methods and systems, and in the management of the projects concerned."*

More specifically, this Recommendation relates to all persons professionally engaged in R&D at any career stage<sup>18</sup>, regardless of their classification. This includes any activities related to "basic research", "strategic research", "applied research", experimental development and "transfer of knowledge" including innovation and advisory, supervisory and teaching capacities, the

management of knowledge and intellectual property rights, the exploitation of research results or scientific journalism.

A distinction is made between Early-Stage Researcher and Experienced Researchers:

The term Early-Stage Researcher<sup>19</sup> refers to researchers in the first four years (full-time equivalent) of their research activity, including the period of research training.

Experienced Researchers<sup>20</sup> are defined as researchers having at least four years of research experience (full-time equivalent) since gaining a university diploma giving them access to doctoral studies, in the country in which the degree/diploma was obtained or researchers already in possession of a doctoral degree, regardless of the time taken to acquire it.

17. In: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002.

18. COM (2003) 436 of 18.7. 2003: Researchers in the ERA: One profession, multiple careers.

19. See Work Program Structuring the European Research Area Human Resources and Mobility Marie Curie Actions, edition September 2004, page 41.

20. Idem, page 42.

### Delimitations:

What is stated in the gap analysis refers to conditions for state employees, thus researchers with the state as accountable authority.

Researchers working under other authorities than a state institution, or those who fund their research through scholarships, are not covered by the description below.

*Please note! Any institute of higher education with other accountable authority than the state must add complementary information in the gap analysis according to their specific conditions.*

## Internal Analysis and action plan

### – preparation for implementation of principles of Charter and Code

**University/Institute of Higher Education, City, Sweden**

**Accountable authority: xxxxxxxxxx**

**Date: xxxx xx xx**

## I. Ethical and professional aspects

### 1. Research freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

### 1. Forskningsfrihet

Forskare bör koncentrera sin forskning på mänsklighetens bästa och på att flytta fram gränserna för vetenskapen. De bör ha tanke- och yttrandefrihet och vara fria att fastställa metoder för att lösa problem i enlighet med vedertagna etiska principer och vedertagen etisk praxis.

Forskare bör dock vara medvetna om de begränsningar för denna frihet som kan uppstå på grund av särskilda forskningsförhållanden (bland annat handledning/rådgivning/ledning) eller verksamhetsmässiga begränsningar. Det kan t ex röra sig om begränsningar av budget- eller infrastrukturskäl, eller, framför allt inom industrin, om begränsningar av skäl som rör immaterialrättsligt skydd. Sådana begränsningar bör dock inte strida mot vedertagna etiska principer eller vedertagen etisk praxis, som forskare måste följa.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><b>The Swedish Higher Education Act 1992:1434, 1 kap § 6</b></p> <p><b>Högskolelagen</b></p> <p>'The following general principles shall apply to research: research issues may be freely selected, research methodologies may be freely developed, and research results may be freely published.'</p> <p><b>Freedom of Speech Act (Yttrandefrihetsgrundlagen)</b> <a href="#">YGL 1991:1469</a></p> <p><b>Freedom of Press Act (Tryckfrihetsförordningen)</b> <a href="#">TF 1949:105</a></p>			

<p><b>2. Ethical principles</b> Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.</p>			
<p><b>2. Etiska principer</b> Forskare bör följa vedertagen etisk praxis och grundläggande etiska principer som tillämpas inom respektive ämnesområde liksom etiska normer i olika nationella, sektorsspecifika eller institutionella etiska koder.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><a href="#">The Act (2003:460) concerning the Ethics Review of Research Involving Humans.</a> Etisk granskning av klinisk läkemedelsprövning</p> <p><b>! Please note: proposal in progress! <sup>1</sup></b></p> <p><a href="#">Animal Welfare Act (SFS 1988:534).</a> Djurskyddslag (SFS 1988:534)</p> <p><b>The Swedish Research Council</b> (Sw. Vetenskapsrådet, 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. <a href="http://www.vr.se/inenglish/aboutus.4.69f66a93108e85f68d48000123.html">http://www.vr.se/inenglish/aboutus.4.69f66a93108e85f68d48000123.html</a></p> <p>In the beginning of 2004, independent authorities of ethical vetting were established; The 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 . <a href="http://www.epn.se/en/start/">http://www.epn.se/en/start/</a> <a href="http://codex.vr.se/omcodex.shtml">http://codex.vr.se/omcodex.shtml</a> <a href="https://publikationer.vr.se/produkt/good-research-practice/">https://publikationer.vr.se/produkt/good-research-practice/</a></p>			

<sup>1</sup> **Departementsserien 2016:12**

A memorandum ([Ds 2016:12](#)) is in progress (September 2016), containing not yet decided proposals aimed at adapting Swedish law 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 becomes directly applicable in Sweden.

### 3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

### 3. Professionellt ansvar

Forskare bör alltid försöka se till att deras forskning är av betydelse för samhället och inte upprepa forskning som tidigare bedrivits på annat håll. De måste undvika alla former av plagiering och följa immaterialrättsliga principer och gemensamt ägande av data då forskning bedrivs i samarbete med en handledare och/eller andra forskare. Det faktum att nya iakttagelser måste valideras genom demonstration av att experiment kan upprepas bör inte ses som plagiering, förutsatt att det uttryckligen uppges vilka data som skall bekräftas. I de fall någon del av arbetet delegeras bör forskarna se till att den person till vilket arbetet delegeras har den kompetens som krävs för att utföra arbetet.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<a href="#">The Swedish Higher Education Act 1992:1434, § 3a</a> Högskolelagen  'In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. Ordinance (2000:1370).'			

### 4. Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

### 4. Professionell inställning

Forskare bör känna till de strategiska mål som styr deras forskningsmiljöer och finansieringsmekanismer. De bör också inhämta alla nödvändiga godkännanden innan de inleder forskningen eller får tillgång till de resurser som ställts till förfogande. De bör informera sin arbetsgivare, finansiärer eller handledare om när forskningsprojekt försenas, omdefinieras eller slutförs, och anmäla om projekten kommer att avslutas tidigare eller avbrytas av något skäl.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who

<p>The professional attitude is unambiguously linked to the 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>Each university/research institute must describe the specific section of the law relating to their specific activities.</p> <p>Examples are:</p> <p><a href="#">Act (2003:460) concerning the Ethics review of research involving humans</a>  <b>Lagen om etikprövning av forskning som avser människor</b></p> <p><a href="#">Privacy Act (1998: 204)</a>  <b>Personuppgiftslagen</b></p> <p><a href="#">Patient Data Act (2008:355)</a>  <b>Patientdatalagen</b></p> <p><a href="#">Medicines Act (2015:315)</a>  <b>Läkemedelslagen</b></p> <p><a href="#">The Act (2002 : 297) on biobanks in the health service</a>  <b>Lagen om biobanker i hälso- och sjukvården</b></p> <p><a href="#">The Swedish Radiation Safety Authority's Regulations on General Obligations in Medical and Dental Practices using Ionising Radiation. (SSMFS 2008:35)</a>  <b>Strålskyddsmyndighetens föreskrifter om allmänna skyldigheter vid medicinsk och odontologisk verksamhet med joniserande strålning</b></p>			
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**5. Contractual and legal obligations**  
 Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc.) as set out in the terms and conditions of the contract or equivalent document.

<b>5. Avtalsmässiga och rättsliga skyldigheter</b>			
Forskare på alla nivåer måste vara medvetna om nationella, sektorsspecifika eller institutionella bestämmelser som reglerar utbildnings- och arbetsvillkor. Detta omfattar immaterialrättsliga bestämmelser och krav och villkor för sponsorer eller finansiärer, oberoende av avtalsförhållanden. Forskare bör följa bestämmelserna genom att tillhandahålla nödvändiga resultat (t ex avhandlingar, publikationer, patent, rapporter och ny produktutveckling) i enlighet med villkoren i avtal eller liknande dokument.			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p><a href="#">Act (1960 : 729) on Copyright in Literary and Artistic Works</a> Lag (1960:729) om upphovsrätt till litterära och konstnärliga verk</p> <p><a href="#">The Patent Act (1967:837)</a>, Patentlag (1967:837)</p> <p><a href="#">Act ( 1949: 345) on the Right to Employee Inventions</a> Lag (1949:345) om rätten till arbetstagares uppfinningar</p> <p><a href="#">Design protection Act ( 1970: 485)</a> Mönsterskyddslag (1970:485)</p> <p><a href="#">The Trademark Act (2010:1877)</a> Varumärkeslag (2010:1877)</p> <p><a href="#">The Trade Names Act (1974:156)</a> Firmalag (1974:156)</p> <p><a href="#">Act ( 1992: 1685 ) on the protection of topographies of semiconductor products</a> Lag (1992:1685) om skydd för kretsmönster för halvledarprodukter</p> <p><a href="#">The Plant Breeders' Rights Act (1997:306)</a> Växtförädlarerättslag (1997:306)</p> <p><a href="#">The Names Act (1982:670)</a> Namnlag (1982:670)</p> <p><a href="#">The Swedish Higher Education Act (1992: 1434), Chapter 1 § 6</a> Högskolelag (1992:1434) 1 kap 6§</p> <p><b>!Please note: see preamble!</b></p>			



### 6. Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

### 6. Ansvar

Forskare måste vara medvetna om sitt ansvar gentemot arbetsgivare, finansiärer eller andra offentliga eller privata organ, och, när det gäller mer etiska skäl, gentemot samhället i stort. Forskare som får offentliga medel är också ansvariga för att se till att skattebetalarnas pengar används på ett effektivt sätt. De bör därför följa principerna om korrekt och effektiv ekonomisk förvaltning som är öppen för insyn, och samarbeta med dem som utsetts för att granska forskningen, oavsett om det rör sig om deras arbetsgivare/finansiärer eller etiska kommittéer.

Metoder för insamling och analys liksom resultat och eventuellt andra relevanta data bör kunna granskas internt och externt, när så är nödvändigt och begärs av berörda myndigheter.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><a href="#">The Swedish Higher Education Act 1992:1434, § 4</a></p> <p>'The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programmes and <u>in research</u>.</p> <p>The resources available shall be used effectively to sustain a high standard of operation.</p> <p>Quality assurance procedures are the shared concern of staff and students at higher education institutions.</p> <p>Ordinance (2013:119).'</p>			

### 7. Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

### 7. Bra praxis inom forskning

Forskare bör alltid följa säkra arbetsmetoder, i enlighet med nationell lagstiftning, och bland annat vidta nödvändiga förebyggande hälso- och säkerhetsåtgärder och åtgärder för att klara IT-katastrofer, t ex genom strategier för säkerhetskopiering. De bör också känna till gällande nationella lagstiftningskrav på dataskydd och krav på sekretesskydd och vidta nödvändiga åtgärder för att alltid uppfylla dessa krav.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<a href="#">Work Environment Act (1977:1160)</a> Arbetsmiljölagen (1977:1160)  <a href="#">The Personal Data Act (1998:204)</a> Personuppgiftslagen (1998:204)  <a href="#">Archives Act (1990:782)</a> Arkivlagen (1990:782)  <a href="#">Public Access to Information and Secrecy Act (2009:400)</a> Offentlighets- och sekretesslagen (2009:400)			

**8. Dissemination, exploitation of results**  
All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

**8. Spridning och utnyttjande av resultat**  
Alla forskare bör säkerställa, i överenskommelse med ingångna avtal, att resultaten av deras forskning sprids och utnyttjas, t ex kommuniceras, överförs till andra forskningssammanhang, eller när så är lämpligt kommersialiserats. Framför allt mer erfarna forskare förväntas ta det främsta ansvaret för att se till att forskningen ger resultat och att resultaten utnyttjas kommersiellt och/eller offentliggörs när möjlighet finns.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<a href="#">The Swedish Higher Education Act (1992:1434)</a> <a href="#">Ch 1, 2 and 3§§</a>  '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.'			

**9. Public engagement**  
Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

<b>9. Samhällsansvar</b>			
Forskare bör se till att deras forskning blir känd för samhället i stort på ett sådant sätt att den kan förstås av icke-specialister, vilket förbättrar allmänhetens förståelse för vetenskap. Direkta kontakter med allmänheten gör det lättare för forskarna att beakta allmänhetens intresse i samband med vetenskapliga och tekniska prioriteringar och även se vilka frågor som allmänheten oroar sig för.			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><a href="#">The Swedish Higher Education Act (1992:1434)</a> <a href="#">Ch 1, 2 and 3 §§</a></p> <p>'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>			

<b>10. Non discrimination</b>			
Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.			
<b>10. Icke diskriminering</b>			
Arbetsgivare och finansiärer bör inte diskriminera forskare på något sätt på grundval av kön, ålder, etniskt, nationellt eller social ursprung, religion eller tro, sexuell läggning, språk, funktionsnedsättning, politisk åskådning eller sociala eller ekonomiska villkor.			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><a href="#">Discrimination Act ( 2008:567)</a> <b>Diskrimineringslagen</b></p> <p>Swedish Secreteriat for Gender Research (Nationella Sekreteriatet för genusforskning) is a central actor in the area of gender research and gender equality since 1998, carrying out assignments on behalf of several national, Nordic and European actors.</p> <p>The secreterariat is commissioned by the Swedish government to support all state funded higher education institutions in their gender mainstreaming efforts 2016-2019.</p> <p><a href="http://www.genus.se/en/about-us/our-assignments/gma/">http://www.genus.se/en/about-us/our-assignments/gma/</a></p>			

<b>11. Evaluation/ appraisal systems</b>			
Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.			

<b>11. System för utvärdering/bedömning</b> Arbetsgivare och finansiärer bör se till att alla forskare, även mer erfarna forskare, omfattas av system för regelbunden bedömning/utvärdering av arbetet. Denna utvärdering eller bedömning bör göras av en oberoende kommitté på ett sätt som är öppet för insyn. Framför allt när det gäller mer erfarna forskare bör helst en internationell kommitté svara för detta. Förfarandena för utvärdering och bedömning bör ta hänsyn till forskarnas forskningskreativitet och forskningsresultat, t.ex. publikationer, patent, forskningsförvaltning, undervisning, handledning, mentorskap, nationellt eller internationellt samarbete, administrativa uppgifter, verksamhet för att informera allmänheten samt rörlighet. Detta bör beaktas när det gäller karriärutveckling.			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p><b>The Swedish Research Council</b> (Sw. Vetenskapsrådet, <b>VR</b>) 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.  <a href="http://www.vr.se/inenglish/aboutus.4.69f66a93108e85f68d48000123.html">http://www.vr.se/inenglish/aboutus.4.69f66a93108e85f68d48000123.html</a></p> <p>VR conducts various types of evaluations of research, both evaluations of research topics (such as mechanics or Literature) and evaluations of government -initiated research efforts, the latter more frequent. Two specific examples are the evaluation of strategic research (SFO) and several evaluations of Linnaeus supports. In some cases valuations are carried out during a (mid-term) investment and then the evaluation results are used for eventual reprogramming of appropriations. Focus of the evaluations are set on the scientific quality, though aspects such as strategic management at the university level and research impact may occur. Responsibility for the compliance with ethical guidelines rests with the beneficiary/academic institution. Evaluation may lead to a redistribution of funds within the framework of an ongoing effort.</p> <p><b>Ordinance (2007: 603) on Internal Control</b> Förordning om intern styrning och kontroll</p> <p><b>Internal Audit Ordinance (2006 : 1228 ), 1 and 2 §§</b> Internrevisionsförordning</p>			

## II. Recruitment

<b>12. Recruitment</b>			
Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.			
<b>12. Rekrytering</b>			
Arbetsgivare och finansiärer bör se till att behörighets- och tillträdeskrav för forskare, framför allt i början av karriären, tydligt anges. De bör också underlätta rekrytering av missgynnade grupper samt stödja forskare som återvänder till en forskningskarriär, bland annat lärare (på alla nivåer). Arbetsgivare och finansiärer bör följa de principer som fastställs i riktlinjerna för rekrytering av forskare när de utser eller rekryterar forskare. <sup>2</sup>			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p><b><u><a href="#">The Instrument of Government</a></u></b> 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><b><u><a href="#">The Public Employment Act in Swedish (1994:260)</a></u></b> <b>Lagen om offentlig anställning</b> 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><b><u><a href="#">The Swedish Higher Education Act (1992:1434)</a></u></b> <b>Högskolelagen</b></p> <p><b><u><a href="#">The Higher Education Ordinance (SFS 1993:100)</a></u></b> <b>Högskoleförordningen</b></p> <p><b><u><a href="#">Discrimination Act (SFS 2008:567)</a></u></b> <b>Diskrimineringslagen</b></p>			

<sup>2</sup>See directive 2001/14/EG.

### 13. Recruitment (Code)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

### 13. Rekrytering

Arbetsgivare och finansiärer bör använda sig av öppna <sup>3</sup> positiva och effektiva ansökningsrutiner som medger insyn och internationella jämförelser. De bör dessutom vara anpassade till den tjänst som utlyses.

Platsannonserna bör innehålla en allmän beskrivning av vilken kunskap och kompetens som krävs, och bör inte vara så specialiserade att lämpliga kandidater avskräcks. Arbetsgivarna bör beskriva arbetsvillkor och rättigheter, bland annat karriärmöjligheter. Dessutom bör det fastställas en rimlig ansökningstid från det att tjänsten utlyses eller ansökningarna efterfrågas.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><a href="#">The Higher Education Ordinance (SFS 1993:100)</a> <b>Högskoleförordningen</b> According to the Higher Education Ordinance (SFS 2010 : 1064 ) Chapter 2 , § 2 , the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers.</p> <p><a href="#">Employment Ordinance ( SFS 1994:373)</a> <b>Anställningsförordningen</b></p> <p><a href="#">The Freedom of the Press Act</a> <a href="#">Chapter 2. On the public nature of official documents</a> <b>Tryckfrihetsförordningen</b></p> <p><a href="#">The Public Employment Act Section 4 Merits and competence</a> <b>Lagen om offentlig anställning</b></p> <p><a href="#">Discrimination Act (SFS 2008:567)</a> <b>Diskrimineringslagen</b></p> <p><b>!Please note: see preamble!</b></p>			

<sup>3</sup> All instruments available should be used, especially web-based resources that are available globally, such as, "The Researchers's Mobility Portal": <http://europa.eu.int.eracareers>.

<b>14. Selection (Code)</b> Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.			
<b>14. Urval</b> Urvalskommittéerna bör bestå av personer med sakkunskap och kompetens på olika områden och bör ha en jämn könsfördelning. När så är lämpligt och möjligt bör medlemmarna representera olika sektorer (den privata och den offentliga) och ämnesområden (även från andra länder) och ha lämplig erfarenhet för att kunna bedöma kandidaterna. Om möjligt bör många olika urvalsmetoder tillämpas, såsom externa experters bedömningar och personintervjuer. De som deltar i uttagningspaneler bör ges lämplig utbildning för detta.			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<a href="#">The Swedish Higher Education Act (SFS 1992:1434)</a> Högskolelagen  <a href="#">The Higher Education Ordinance (SFS 1993:100)</a> Högskoleförordningen			

<b>15. Transparency (Code)</b> Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.			
<b>15. Insyn</b> Före urvalet bör kandidaterna informeras om rekryteringsförfarandet och urvalskriterierna, antalet lediga platser och karriärmöjligheter. Efter urvalsprocessen bör de också informeras om ansökningarnas förtjänster och svaga sidor.			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>

<p><a href="#">The Swedish Higher Education Act (SFS 1992:1434)</a> <b>Högskolelagen</b></p> <p><a href="#">The Higher Education Ordinance (SFS 1993:100)</a> <b>Högskoleförordningen</b></p> <p>According to the Higher Education Ordinance (SFS 2010 : 1064 ) Chapter 2 , § 2 , the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers.</p> <p><a href="#">Employment Ordinance (1994:373)</a> <b>Anställningsförordningen</b></p> <p><a href="#">Public Access to Information and Secrecy Act (2009:400)</a> <b>Offentlighets- och sekretesslagen (2009:400)</b></p> <p><b>!Please note: see preamble!</b></p>			
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<p><b>16. Judging merit (Code)</b> The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.</p>			
<p><b>16. Bedömning av meriter</b> I urvalsprocessen bör hänsyn tas till kandidaternas sammanlagda erfarenhet.<sup>4</sup> Även om man inriktar sig på deras allmänna potential som forskare, bör också deras kreativitet och självständighet beaktas. Detta innebär att meriterna bör bedömas kvalitativt och kvantitativt, och att bedömningen bör koncentreras på framstående resultat inom en varierad karriärväg och inte bara på antalet publikationer. Därför bör bibliometriska analyser på ett lämpligt sätt vägas tillsammans med många andra bedömningskriterier, såsom undervisning, handledning, grupparbeten, kunskapsöverföring, forsknings- och innovationsförvaltning och verksamhet för att informera allmänheten. När det gäller kandidater från näringslivet, bör man framför allt uppmärksamma bidrag till patent, utveckling eller uppfinningar.</p>			
<p><b>Relevant legislation</b> (permitting or impeding the implementation of this principle)</p>	<p><b>Institutional rules and/or practices</b></p>	<p><b>Actions required</b></p>	<p><b>When/Who</b></p>

<sup>4</sup> See Evaluation/appraisal systems under 1 Ethical and professional aspects, point 11, in this document.



<p><u><a href="#">The Public Employment Act (SFS 1994:260) §4 Merits and competence</a></u></p>			
<p>Lagen om offentlig anställning</p>			
<p><u><a href="#">The Higher Education Ordinance (SFS 1993:100) chapter 4</a></u> Högskoleförordningen, kapitel 4</p>			

**17. Variations in the chronological order of CVs (Code)**  
Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

**17. Variationer i den kronologiska följderna i meritförteckningar**  
Man bör inte se karriäravbrott eller variationer i den kronologiska följderna i meritförteckningar som något negativt, utan detta bör beaktas som möjliga steg i karriären och således som ett potentiellt värdefullt bidrag till en flerdimensionell yrkesutveckling för forskare. Kandidaterna bör därför kunna lägga fram styrkta meritförteckningar med ett representativt urval av resultat och kvalifikationer som är av betydelse för den tjänst som söks.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><u><a href="#">Employment Ordinance ( SFS 1994:373)</a></u> Anställningsförordningen</p>			

**18. Recognition of mobility experience (Code)**  
Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

**18. Erkännande av erfarenhet från utlandet/annan sektor osv**  
Eventuell erfarenhet t.ex. från vistelser i ett annat land/en annan region, från en annan forskningsmiljö (offentlig eller privat), andra ämnesområden eller sektorer, oavsett om erfarenheten ingår i den inledande forskarutbildningen eller gjorts i ett senare skede av forskningskarriären, bör betraktas som ett viktigt bidrag till forskarens yrkesutveckling. Detsamma gäller virtuell rörlighet.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who

**19. Recognition of qualifications (Code)**  
Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

<p><b>19. Erkännande av kvalifikationer</b> Arbetsgivare och finansiärer bör se till att alla forskares akademiska och yrkesmässiga kvalifikationer bedöms och utvärderas på lämpligt sätt. Detta gäller även informella kvalifikationer och framför allt i samband med internationell rörlighet och byte av yrke. Arbetsgivare och finansiärer bör skaffa sig relevant information för att få full förståelse för bestämmelser, förfaranden och krav som reglerar erkännandet av sådana kvalifikationer. De bör studera gällande nationella lagar, konventioner och bestämmelser om erkännandet av sådana kvalifikationer via alla tillgängliga medel.<sup>5</sup></p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><a href="#">The Higher Education Ordinance (SFS 1993:100)</a> <b>Högskoleförordningen</b> According to the Higher Education Ordinance (SFS 2010: 1064) Chapter 2, § 2, the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers.</p>			

<p><b>20. Seniority (Code)</b> The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.</p>			
<p><b>20. Tjänsteålder</b> Den kvalifikationsnivå som krävs bör vara avpassad till tjänsten och inte ställas upp som ett hinder. Kvalifikationerna bör främst erkännas och utvärderas på grundval av forskarens resultat, och inte på grundval av från vilket sammanhang han/hon kommer eller anseendet hos den institution där forskaren skaffat sig kvalifikationerna. Eftersom man kan skaffa sig yrkeskvalifikationer tidigt i en lång karriär bör det livslånga utvecklingsmönstret beaktas.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who

<sup>5</sup> More detailed information to be found on website <http://www.enic-naric.net/> regarding the networks NARIC (National Academic Recognition Information Centres in the European Union) and ENIC (European Network of Information Centers in the European Region).

<p>The Instrument of Government Chapter 11, Section 9 <a href="#">The Instrument of Government</a></p> <p>The Public Employment Act Section 4: <a href="#">The Public Employment Act in Swedish</a></p> <p>The Higher Education Act <a href="#">The Swedish Higher Education Act</a></p> <p><a href="#">Collective agreement for Post doc</a></p>			
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<p><b>21. Postdoctoral appointments (Code)</b> Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.</p>			
<p><b>21. Post doc-tjänster</b> De institutioner som utser post doc-forskare bör fastställa tydliga bestämmelser och riktlinjer för rekrytering och utnämning av sådana forskare. Bland annat bör dessa tjänsters maximala längd och deras syfte anges. Riktlinjerna bör ta hänsyn till tid som avsatts för tidigare post doc-tjänster vid andra institutioner och till att tjänsten bör vara temporär. Det främsta syftet är att ge ytterligare möjligheter till yrkesutveckling inom ramen för en långsiktig forskarkarriär.</p>			
<p><b>Relevant legislation</b> (permitting or impeding the implementation of this principle)</p>	<p><b>Institutional rules and/or practices</b></p>	<p><b>Actions required</b></p>	<p><b>When/Who</b></p>
<p><b>Employment Protection Act 1982:80 (LAS) § 5</b> <a href="#">Employment Protection Act in Swedish</a></p> <p><a href="#">Collective agreement for Post doc positions</a></p>			

### III. Working conditions and social security

<p><b>22. Recognition of the profession</b> All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).</p>			
<p><b>22. Erkännande av yrket</b> Alla forskare som gör karriär inom forskningen bör erkännas som fackmän och behandlas som sådana. Detta bör vara fallet redan i början av karriären, dvs på forskarutbildningen, och fortsätta på alla nivåer, oavsett av vilken kategori forskarna tillhör (t.ex. anställda, forskarstuderande, doktorander, post-doc-stipendiater och offentliga tjänstemän).</p>			
<p><b>Relevant legislation</b> (permitting or impeding the implementation of this principle)</p>	<p><b>Institutional rules and/or practices</b></p>	<p><b>Actions required</b></p>	<p><b>When/Who</b></p>
<p><a href="#">The Swedish Higher Education Act 1992:1434 chapter 1, §6 and chapter 2 §6.</a> Högskolelagen</p>			

<p><b>23. Research environment</b> Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.</p>			
<p><b>23. Forskningsmiljö</b> Arbetsgivare och finansiärer bör se till att det skapas en så stimulerande miljö som möjligt för forskning eller forskningsutbildning, där lämplig utrustning och olika möjligheter erbjuds, bland annat för distanssamarbete i forskningsnätverk. De bör se till att nationella eller sektorspecifika hälso- och säkerhetsbestämmelser för forskning följs. Finansiärer bör se till att det ges lämpliga resurser för godkända arbetsprogramms genomförande.</p>			
<p><b>Relevant legislation</b> (permitting or impeding the implementation of this principle)</p>	<p><b>Institutional rules and/or practices</b></p>	<p><b>Actions required</b></p>	<p><b>When/Who</b></p>

<p><a href="#">The Work Environment Act (SFS 1977:1160 The Work)</a> Arbetsmiljölagen</p> <p><a href="#">The Work environment ordinance (SFS 1977:1166)</a> Arbetsmiljöförordningen</p> <p><a href="#">Discrimination Act (SFS 2008:567)</a> Diskrimineringslagen</p> <p><a href="#">Social Insurance Act (SFS 2010:110)</a> Socialförsäkringslagen</p> <p><a href="#">Flammable and explosive goods act (SFS 2010:1011)</a> Lag om brandfarliga och explosiva varor</p> <p><a href="#">Flammable and explosive goods ordinance (SFS 2010:1075 )</a> Förordning om brandfarliga och explosiva varor</p> <p><a href="#">Protection against accidents act (SFS 2003:778)</a> Lag om skydd mot olyckor</p> <p><a href="#">Protection against accidents ordinance (SFS 2003:789)</a> Förordning om skydd mot olyckor</p> <p><a href="#">The Environmental Code (SFS 1988:808)</a> Förordning med instruktion för statens energiverk</p> <p><a href="#">Parental leave act (SFS 1995:584)</a> Föräldraledighetslagen</p>			
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#### 24. Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, *inter alia*, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

<b>24. Arbetsvillkor</b>			
Arbetsgivare och finansiärer bör se till att arbetsvillkoren för forskare, även forskare med funktionshinder, ger det handlingsutrymme som är nödvändigt för en framgångsrik forskning, i enlighet med nationell lagstiftning och nationella kollektivavtal eller kollektivavtal för en viss sektor. De bör försöka att skapa arbetsvillkor som gör det möjligt för både manliga och kvinnliga forskare att kombinera familj och arbete, barn och karriär <sup>6</sup> . Framför allt bör man uppmärksamma till exempel flexibel arbetstid, deltidsarbete och tjänstledighet, samt nödvändiga ekonomiska och administrativa villkor för sådana arrangemang.			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p><a href="#">The Work Environment Act (SFS 1977:1160 The Work)</a> Arbetsmiljölagen</p> <p><a href="#">The Work environment ordinance (SFS 1977:1166)</a> Arbetsmiljöförordningen</p> <p><a href="#">Discrimination Act (SFS 2008:567)</a> Diskrimineringslagen</p> <p><a href="#">Social Insurance Act (SFS 2010:110)</a> Socialförsäkringslagen</p> <p><a href="#">Flammable and explosive goods act (SFS 2010:1011)</a> Lag om brandfarliga och explosiva varor</p> <p><a href="#">Protection against accidents ordinance (SFS 2003:789)</a> Förordning om skydd mot olyckor</p> <p><a href="#">Protection against accidents act (SFS 2003:778)</a> Lag om skydd mot olyckor</p> <p><a href="#">Protection against accidents ordinance (SFS 2003:789)</a> Förordning om skydd mot olyckor</p> <p><a href="#">The Environmental Code (SFS 1988:808)</a> Förordning med instruktion för statens energiverk</p> <p><a href="#">Parental leave act (SFS 1995:584)</a> Föräldraledighetslagen</p>			

<sup>6</sup> See SEK (2005) 260, Women and Science: Excellence and Innovation – Gender Equality in Science.

<p><b>25. Stability and permanence of employment</b>          Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the <i>EU Directive on Fixed-Term Work</i>.</p>			
<p><b>25. Anställningens stabilitet och varaktighet</b>          Arbetsgivare och finansiärer bör se till att forskarnas arbete inte undergrävs av osäkra anställningskontrakt och de bör därför så långt möjligt försöka förbättra anställningsvillkoren och därmed genomföra och följa de principer och villkor som fastställs i <i>EU:s direktiv om visstidsarbete</i><sup>7</sup>.</p>			
<p><b>Relevant legislation</b>          (permitting or impeding the implementation of this principle)</p>	<p><b>Institutional rules and/or practices</b></p>	<p><b>Actions required</b></p>	<p><b>When/Who</b></p>

<sup>7</sup> Whose purpose is to ensure that temporary workers are not treated less favorably than comparable permanent employees, and to prevent fixed-term employment being abused by several subsequent such employment contracts. Other aims are to make it easier for temporary workers to access training and to ensure that fixed-term employees are informed about available positions. Council Directive 1999/70/EC of 28 June on the Framework Agreement signed by ETUC, Unice (BUSINESSEUROPE) and CEEP.

<p><b><u>Employment Protection Act (SFS 1982:80)</u></b>  <b>LAS, Lagen om anställningsskydd</b>        Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below:</p> <ul style="list-style-type: none"> <li>• Probationary period , not exceeding six months</li> <li>• General temporary-term ALVA</li> <li>• Substitute</li> <li>• Seasonal work</li> <li>• Workers from age 67</li> </ul> <p><b><u>General temporary ALVA (SFS1982:80 §5a)</u></b>        A worker may be employed for a defined time on a general temporary employment, ALVA. There are no specific conditions for employment according to ALVA. Though, when a worker has been employed with the support of the ALVA in aggregate more than two years during the last five years, the employment is transformed to a permanent employment.        Other temporary employment besides ALVA does not qualify for a permanent position.</p> <p><b><u>Employment Regulation (1994:373)</u></b>  <b>Anställningsföordningen</b></p> <p><b><u>Act 2002:293 prohibiting discrimination against part-time workers and workers with fixed-term contracts</u></b>  <b>Lag (2002:293) om förbud mot diskriminering av deltidssamarbetande arbetstagare och arbetstagare med tidsbegränsad anställning</b></p> <p><b><u>Regulation of higher education (SFS 1993:100, chapter 4-5)</u></b>  <b>Högskoleförordningen</b></p> <p><b><u>The Higher Swedish Education Act (1992:1434)</u></b>  <b>Högskolelag (1992:1434)</b></p>			
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**26. Funding and salaries**  
Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

**26. Finansiering och lön**  
Arbetsgivare och finansiärer bör se till att forskare omfattas av rimliga och förmånliga finansieringsvillkor och har löner med tillräckliga och rättvisa socialförsäkringsvillkor (bland annat sjuk- och föräldraförmåner, pensionsrättigheter och arbetslöshetsförmåner), i enlighet med gällande nationell lagstiftning och nationella kollektivavtal eller kollektivavtal för en viss sektor. Detta måste gälla alla forskare, även forskare i början av karriären, och villkoren måste stå i proportion till deras ställning, arbete samt kvalifikations- och/eller ansvarsnivå.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p>National collective agreements exist between employers and the unions SACO - S and OFR / S, P, O. that ensures researchers receive a contractual salary and equitable social security provisions.</p> <p><a href="https://www.arbetsgivarverket.se/avtal--skrifter/">https://www.arbetsgivarverket.se/avtal--skrifter/</a></p> <p>Kammarkollegiet provides a national group insurance covering all foreign scientists doing research.</p> <p><a href="http://www.kammarkollegiet.se/english/insurance">http://www.kammarkollegiet.se/english/insurance</a></p>			

**27. Gender balance**  
Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

**27. Jämn könsfördelning\***  
Arbetsgivare och finansiärer bör sträva efter en representativ könsfördelning på alla personalnivåer, även på handlednings- och ledningsnivå. Detta bör åstadkommas genom att en jämställdhetspolitik tillämpas vid rekrytering och även senare, utan att denna politik prioriteras framför kvalitets- och kompetenskriterier. För att garantera lika behandling bör urvals- och bedömningskommittéer ha en lämplig könsfördelning.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who

**28. Career development**  
Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the

availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

### 28. Karriärutveckling

Arbetsgivare och finansiärer bör, helst inom ramen för sin personalförvaltning, utarbeta strategier för karriärutveckling för forskare i alla skeden av karriären, även för visstidsanställda forskare, oberoende av deras avtalsvillkor. Detta bör bland annat innebära att det finns mentorer som ger stöd och råd angående forskares personliga utveckling och yrkesutveckling för att motivera dem och bidra till att minska den osäkerhet som är förknippad med deras yrkesframtid. Alla forskare bör känna till sådana villkor och arrangemang.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<a href="#">The Higher Education Ordinance (SFS 1993:100), chapter 6, §§28, 29</a> <b>Högskoleförordningen</b>  <b>! Please note: proposal in progress!<sup>8</sup></b>			

### 29. Value of mobility

Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

### 29. Rörlighetens betydelse

Arbetsgivare och finansiärer måste vara medvetna om att det är viktigt med rörlighet mellan olika platser, sektorer och ämnesområden, virtuell rörlighet<sup>9</sup> liksom rörlighet mellan den offentliga och den privata sektorn, eftersom sådan rörlighet förbättrar den vetenskapliga kunskapen och yrkesutvecklingen i alla skeden av en forskares karriär. De bör därför bygga in sådana möjligheter i karriärutvecklingsstrategierna, och fullt ut värdesätta och erkänna sådan erfarenhet i systemen för karriärutveckling/-bedömning.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who

<sup>8</sup> **SOU 2016:29**

A proposal is in progress, based on government directive Ds 2015:74 and on subsequent report; *Security and attractiveness – research careers for the future* ([SOU 2016:29](#), *Trygghet och attraktivitet – en forskarkarriär för framtiden*) embracing new guidelines for research, higher education and research related innovation. The report is written by Ann Fust, Deputy Director General of Swedish Research Council. The proposal is aiming at improved general conditions for students and researchers as well as increased mobility within the field of research and higher education. Decision is likely to be made during November 2016.

<sup>9</sup> I.e. remote collaboration over electronic networks.

!Please note: proposal in progress! <sup>10</sup>			
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**30. Access to career advice**  
Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

**30. Tillgång till karriärrådgivning**  
Arbetsgivare och finansiärer bör se till att forskare i alla skeden av sin karriär, oavsett avtalsvillkor, ges karriärrådgivning och platsförmedlingsstöd, antingen i de berörda institutionerna eller genom samarbete med andra organ.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<a href="#">The Higher Education Ordinance (SFS 1993:100), chapter 6, §§28, 29</a> Högskoleförordningen  !Please note: proposal in progress! <sup>11</sup>			

**31. Intellectual Property Rights**  
Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

**31. Immateriella rättigheter**  
Arbetsgivare och finansiärer bör genom juridiskt skydd, framför allt lämpligt immaterialrättsligt skydd, t ex upphovsrätt, se till att forskare i alla skeden av karriären drar nytta av att deras FoU-resultat används.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>

<sup>10</sup> Ds 2016:29, ibid

<sup>11</sup> Ds 2016:29, ibid

<p><a href="#">Act ( 1949: 345) on the Right to Employee Inventions</a> Lag om rätten till arbetstagares uppfinningar</p> <p><a href="#">The Swedish Higher Education Act (1992:1434 §3a)</a> Högskolelag (1992:1434) 1 kap 6 §</p> <p><b>!Please note;</b> <i>"Principles for handling intellectual property in research agreements"</i> (<i>Principer för immaterialrättslig hantering i forskningsavtal</i>) by the Association of Swedish Higher Education, is recommended as praxis for Swedish Higher Education Institutes.</p>			
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<p><b>32. Co-authorship</b> Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).</p>			
<p><b>32 Samförfattarskap</b> När institutioner bedömer sin personal bör man se positivt på samförfattarskap, vilket bör betraktas som ett konstruktivt sätt att bedriva forskning. Arbetsgivare och finansiärer bör därför utveckla strategier och metoder för att se till att forskare, även forskare i början av sin karriär, omfattas av nödvändiga ramvillkor, så att de har rätt att erkännas, anges eller citeras i samband med sina bidrag (som samförfattare till t.ex. dokument och patent) eller rätt att publicera egna forskningsresultat oberoende av sin handledare.</p>			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>There is no Swedish legislation regarding co-authorship in research.</p> <p>Though, as a response to the recommendation of the European Commission, April 2008, on the management of intellectual property in knowledge transfer activities and Code of Conduct for universities and other public research organisations, the Association of Swedish Higher Education has developed <i>"Principles for handling intellectual property in research agreements"</i> (<i>Principer för immaterialrättslig hantering i forskningsavtal</i>) which is recommended as praxis for Swedish Higher Education Institutes.</p>			

**33. Teaching**  
Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

**33. Undervisning**  
Undervisning är av central betydelse för strukturering och spridning av kunskap och bör därför anses vara ett viktigt inslag i forskarens karriär. Undervisningsansvaret bör dock inte bli så stort att det hindrar forskare, framför allt i början av karriären, från att bedriva forskning. Arbetsgivare och finansiärer bör se till att tillräcklig ersättning ges för undervisningsansvaret och att detta ansvar beaktas i systemen för utvärdering/bedömning, samt att den tid som mer erfaren personal avsätter för att utbilda forskare i början av karriären räknas in i deras undervisningsuppdrag. Som ett led i forskarnas yrkesutveckling bör de ges lämplig utbildning för att kunna undervisa och verka som handledare.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><a href="#">The Higher Education Ordinance, chapter 5, section 2:</a> 'Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.'</p>			

**34. Complains/ appeals**  
Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

**34. Klagomål/överklaganden**  
I överensstämmelse med nationella bestämmelser bör arbetsgivare och finansiärer fastställa lämpliga rutiner för hantering av forskares klagomål/överklagande, bland annat i samband med konflikter mellan handledare och i början av karriären. Eventuellt kan en opartisk person (ombudsman) tillsättas. Sådana förfaranden bör innebära att all forskningspersonal ges konfidentiellt och informellt stöd att lösa arbetsrelaterade konflikter, dispyter och missförhållanden. Detta kan främja en rättvis behandling inom institutionerna och förbättra arbetsmiljön generellt sett.

Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><b>! Please note: see preamble!</b></p>			

<p><a href="#">The Work Environment Act (SFS 1977:1160)</a> Arbetsmiljölagen AML (1977:1160)</p> <p><a href="#">Systematic work (AFS 2001 : 1 ),SAM, regulations</a> Systematiskt arbetsmiljöarbete (AFS 2001:1), föreskrifter</p> <p><a href="#">Organisational and social working environment (AFS 2015 : 4)</a> Organisatorisk och social arbetsmiljö (AFS 2015:4)</p> <p><a href="#">Discrimination Act (SFS 2008:567)</a> Diskrimineringslagen</p>			
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<p><b>35. Participation in decision-making bodies</b> Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.</p>			
<p><b>35. Deltagande i beslutsfattande organ</b> Arbetsgivare och finansiärer bör anse det vara rimligt och även önskvärt att forskare representeras i relevanta organ för information, samråd och beslutsfattande inom den institution där de arbetar. De kan på så sätt värna om och främja sina enskilda och kollektiva yrkesintressen och aktivt bidra till institutionernas verksamhet.<sup>12</sup></p>			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p><a href="#">The Swedish Higher Education Act 1992:1434</a> <a href="#">chapter 2 §6.</a> Högskolelagen</p> <p><a href="#">The Higher Education Ordinance (SFS 1993:100)</a> <a href="#">Chapter 2, §7a</a> Högskoleförordningen</p>			

<sup>12</sup> See directive 2002/14/EC.

## IV. Training

<p><b>36. Relation with supervisors</b> Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.</p>			
<p><b>36. Relationer med handledare</b> Under sin utbildning bör forskare etablera strukturerade och regelbundna relationer med sina handledare och företrädare för fakulteten/institutionen för att på bästa sätt kunna dra nytta av dessa kontakter.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<p><a href="#">The Higher Education Ordinance, Chapter 6, section 28:</a> <b>Högskoleförordningen</b> 'At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student* is entitled to supervision during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor.'</p> <p>*PhD candidate is called "doctoral student" in Swedish.</p>			

<p><b>37. Supervision and managerial duties</b> Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.</p>			
<p><b>37.Handledning och ledning</b> Mer erfarna forskare bör framför allt tänka på sina många olika roller, dvs. att de kan fungera som handledare, mentorer, karriärrådgivare, ledare, projektsamordnare, chefer eller forskningsinformatörer. De bör utföra dessa uppgifter i enlighet med mycket högt ställda yrkesmässiga krav. Som handledare eller mentor, bör en mer erfaren forskare bygga upp konstruktiva och positiva relationer till nya forskare för att skapa förutsättningar för en effektiv kunskapsöverföring och en lyckad utveckling av forskarkarriärer.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who

<b>38. Continuing Professional Development</b> Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.			
<b>38. Fortbildning</b> Forskare i alla skeden av karriären bör hela tiden sträva efter att utveckla sig genom att regelbundet uppdatera och utöka sin kunskap och kompetens. Detta kan ske på olika sätt, bland annat genom formell utbildning, seminarier, konferenser och e-lärande.			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<a href="#">The Higher Education Ordinance (SFS 1993:100), Chapter 6, §29</a> Högskoleförordningen			

<b>39. Access to research training and continuous development</b> Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.			
<b>39. Tillgång till utbildning och fortbildning</b> Arbetsgivare och finansörer bör se till att alla forskare i alla skeden av sin karriär, oavsett avtalsvillkor, ges möjlighet till fortbildning och förbättrad anställningsbarhet genom åtgärder för vidareutveckling av kunskap och kompetens.			
Relevant legislation (permitting or impeding the implementation of this principle)	Institutional rules and/or practices	Actions required	When/Who
<a href="#">The Higher Education Ordinance (SFS 1993:100), Chapter 6, §29</a> Högskoleförordningen			

<b>40. Supervision</b> Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.			
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**40.Handledning**

Arbetsgivare och finansiärer bör se till att det utses en person som forskare i början av sin karriär kan rådfråga angående yrkesuppgifter, och forskarna bör informeras om detta.

Det bör tydligt fastställas att de föreslagna handledarna skall besitta tillräcklig expertis för att kunna handleda forskningen, och ha tid, kunskap, erfarenhet och engagemang för att kunna ge den forskarstuderande tillräckligt stöd och garantera förfaranden för framsteg, översyn och feedback.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
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<p><b><u>The Higher Education Ordinance (SFS 1993:100)</u></b>  <b>Högskoleförordningen</b></p> <p><b>chapter 6, section 28:</b>        'At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student is entitled to supervision during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor.'</p> <p><b>chapter 6, section 29: Individual study plans</b>        An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and his or her supervisors.</p> <p>The individual study plan shall be reviewed regularly and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. 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. Ordinance (2010:1064).</p> <p><b>chapter 6, Section 30: Entitlement to supervision and other resources</b></p> <p>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</p>			
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<p>the individual study plan. 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. Ordinance (2010:1064).</p> <p><b>Chapter 6, section 31</b></p> <p>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. Ordinance (2010:1064).</p>			
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