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Swedish University of Agricultural Sciences

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## Organisation and division of responsibility in relation to the SLU Board of Governors and bodies that report directly to it

("SLU Board's delegation of authority")

2021 version

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Appendix to the decision by the SLU Board of 5 November 2020, Section 89/20, SLU ua 2020.1.1.1-4035 and 16 December 2020, Section 103/20, same ID.

## Organisation and division of responsibility in relation to the SLU Board of Governors and bodies that report directly to it, the “SLU Board’s delegation of authority”.

### 1. The SLU Board

#### 1.1 Composition

*According to the decision of the government*

According to the provisions of Chapter 2, Section 1 of the Swedish Higher Education Ordinance (HF, 1993:100), the SLU Board must consist of the chair and up to 14 other members. The board elects one of its members to act as deputy chair. The Swedish Higher Education Act (HL, 1992:1434) stipulates that the vice-chancellor is a member of the board. Chapter 2, Section 7 HF stipulates that members of the SLU Board other than the vice-chancellor are to be appointed for a fixed term of no more than three years. The same applies if the vice-chancellor is elected as chair.

Teachers and researchers are entitled to be represented by three members of the board of governors. The representatives of the teachers and other researchers shall be appointed by election within the Swedish University of Agricultural Sciences. The university may issue more specific regulations about the election procedure. The students are entitled to be represented by three members of the board of governors. The chair and the other members of the board of governors who shall be appointed by the Government are to be appointed after a proposal pursuant to Chapter 2 Section 7 b of the Higher Education Ordinance (1993:100). The proposal is to be preceded by consultation within and outside the university and comprise persons with competence and experience from activities that are significant for the university's educational, research, environmental analysis and third stream mandate. The staff representatives who, pursuant to the second paragraph of Section 4 of Chapter 2 of the Higher Education Act (1992:1434), are entitled to be present and make representations at meetings of the board of governors are to be appointed according to the provisions of the Staff Representatives Ordinance (1987:1101). (Chapter 2, Section 2 of the Ordinance (1993:221) for the Swedish University of Agricultural Sciences (the SLU Ordinance)).

*According to the decision of the SLU Board*

The three student representatives are appointed by the Joint Committee of Student Unions at the Swedish University of Agricultural Sciences (Sluss).

## 1.2 Duties

*According to the decision of the government*

The responsibilities and duties of the university board of a higher education institution are those laid down in Section 3 of the Government Agencies and Institutes Ordinance (2007:515) and Section 8 of Chapter 2 of the Ordinance concerning the Annual Reports and Budget Documentation (2000:605). In addition the university board shall itself decide:

1. on important issues relating to the overall operational focus and organisation of the higher education institution;
2. on annual reports, interim reports, budgetary records and important reports, and otherwise ensure that the institution has an internal management and auditing system that functions in a satisfactory manner;
3. on measures resulting from audit reports and audit memoranda from the Swedish National Audit Office;
4. on guidelines and audit routines for internal auditing and measures resulting from the observations and recommendations arising from internal audits pursuant to Section 10 of the Internal Audit Ordinance (2006:1228);
5. on important issues relating to the internal allocation and monitoring of resources;
6. on questions that pursuant to Section 15 are to be determined by a staff disciplinary board, if no staff disciplinary board has been established at the higher education institution or if the Government Disciplinary Board for Higher Officials is not required to issue a decision pursuant to Section 16 of Chapter 4;
7. on the admissions procedure laid down in the second paragraph of Section 3 of Chapter 6;
8. on rules of procedure with important regulations on the overall organisation of the higher education institution, delegation of authority to make decisions, the management of issues and operational procedures in other respects, unless otherwise provided by statutes or regulations;
9. on an appointment procedure;
10. on other important regulations;
11. on other issues that are of principled importance. (Chapter 2, Section 2, HF (1993:100));

Section 3 of the same chapter of HF states that the vice-chancellor shall decide matters other than those referred to in Section 2, unless otherwise provided by enactment or ordinance, or if the board of governors has decided otherwise. If, however, in this ordinance or elsewhere it is provided that a certain duty is incumbent on the vice-chancellor, the governing body may not assume that duty. Sections 8, 10 and 15 of Chapter 2 HF provide that the board of governors of a higher education institution shall also decide on the proposal of a vice-chancellor, appoint the vice-chancellor's deputy and decide on the establishment of a staff disciplinary board.

Chapter 1, Section 1c of the SLU Ordinance stipulates that “The Swedish University of Agricultural Sciences shall apply the Internal Audit Ordinance (2006:1228).”

*According to the decision of the SLU Board, the duties of the board are:*

to decide on the degree programmes offered by the university at first-cycle and second-cycle level;<sup>1</sup>

to decide on ownership directives for SLU Holding;

to decide, following a proposal from the vice-chancellor,

- direct government funding to the faculties<sup>2</sup> for each reporting area and otherwise to operations that report directly to the SLU Board and that this allocation of direct government funding must include;
  1. allocation of direct government funding to programmes at first-cycle and second-cycle level for each faculty with a relevant commission;
  2. the number of places on the programme for each degree programme (maximum and minimum figures);
  3. the number of places on for freestanding courses;
- decide on the preparation of planning documents (so-called policy decisions) and subsequently on the possible implementation of own-account construction projects with a calculated investment cost in excess of SEK 25 million;
- decide on other investments of up to a maximum of SEK 25 million;
- make decisions on the acquisition of real estate where the purchase price exceeds SEK 25 million *or* where the acquisition is of strategic importance to SLU;
- make decisions on the sale of real estate where the sale price exceeds SEK 25 million *or* where the sale is of strategic importance to SLU;
- decide on requests to the government for permission to carry out investments that, for whatever reason, require the consent of the government;
- adopt an investment plan once a year;
- decide on the budget guidelines for the university;
- decide on the common principles to be used for the allocation of direct government funding by the faculty boards to departments and any profit centres within the faculty;
- appoint members of the obligatory staff disciplinary board.

The chair of the SLU Board and the vice-chancellor together decide which other matters the board will decide on.

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<sup>1</sup> This involves decisions on establishing and discontinuing programmes.

<sup>2</sup> The board may also allocate government funding directly to lower levels within a faculty or to units that report directly to the vice-chancellor.

### 1.3 Delegation to chair with regard to the interim financial report

The following is delegated to the chair:

to adopt, following consultation with the vice-chancellor, the interim report and subsequently submit it to the government.

### 1.4 Election committee for the election of teachers/researchers to the SLU Board and the Board of Education

#### *Composition*

The chair and the deputy chair of the four faculties' election committees together form SLU's election committee. The vice-chancellor appoints a chair and a deputy chair from among these eight people. The vice-chancellor is responsible for ensuring the election committee has access to the necessary technical and administrative support.

#### *Duties*

The duties of the SLU election committee are:

to define the criteria to be fulfilled for the election committee to propose someone as a member of the SLU Board, or for the vice-chancellor to appoint someone to serve as a member/deputy on the Board of Education;

to provide all those entitled to vote with the opportunity to nominate candidates when SLU Board members are elected;

to propose, based on the suggestions received and other contacts, at least four and no more than six people as suitable candidates for the SLU Board;

to offer, when preparing proposals for members and deputy members of the Board of Education, those entitled to vote in elections for the SLU Board the opportunity to nominate candidates, and

to submit, based on the suggestions received and other contacts, proposals to the vice-chancellor for members and deputies to serve on the university's Board of Education.

The SLU Board may decide on additional nomination duties for SLU's election committee. Before the SLU Board makes such a decision, the chair of the election committee must be allowed to influence the structure and nature of such duties.

### 1.5 The election of teachers and researchers to the SLU Board

The election of three teachers and researchers to the SLU Board takes place no later than one month before the term of office begins. The term of office must be the same as for the SLU Board members appointed by the government.

The vice-chancellor, after consultation with the chair of the election committee, decides on a timetable for the election and on the detailed technical and administrative regulations that are required for the election to take place. These regulations are based on the procedure stipulated in section 6 on the election of members to the faculty boards.

Those belonging to an electoral assembly as defined in section 4.1 are eligible.

Those entitled to vote in faculty board elections as defined in section 4.2 are entitled to vote.

The vice-chancellor established the electoral register one month before the election is to take place. The provisions in section 6.1 on eligible voters in addition to those listed in the electoral register, and in section 6.2 on the right to vote, apply.

The electoral register must, unless something else is expressly stated in the decision, be based on the employment relationships in place 15 days before the vice-chancellor establishes the register. Each eligible voter has three votes at the election. An eligible voter who is on leave of absence from SLU retains the right to vote. The three candidates who receive the most votes are appointed ordinary members and the rest are appointed first deputy, second deputy, etc. in the order of the number of votes they received. The deputies join the board as members if one or more of the ordinary members leave during the term of office.



## 2. Vice-chancellor and the vice-chancellor's deputy (deputy vice-chancellor)

### 2.1 Vice-Chancellor

In accordance with Chapter 2, Section 8 HF, the vice-chancellor “*shall be appointed by a Government decision for a period of no more than six years on the basis of a proposal from the board of governors of the higher education institution. The appointment may be extended but no more than twice and for no more than three years at a time.*”

The vice-chancellor is the head of a public authority and as such is subject to the requirements of, among other things, the Government Agencies and Institutes Ordinance (2007:515), MF, and the Ordinance for the Swedish University of Agricultural Sciences (1993:221).

The management of the agency shall be answerable to the government with regard to its operations and shall ensure that these are conducted efficiently and in accordance with applicable law and the obligations resulting from Sweden’s membership of the European Union, that they are reported in a reliable and accurate manner and that the agency makes proper use of government funding. (MF, Section 3)

### 2.2 Deputy vice-chancellor

Section 10 HF stipulates that “The vice-chancellor is to have a deputy to serve instead of the vice-chancellor when he or she is not on duty. The deputy shall also otherwise substitute for the vice-chancellor to the extent determined by the vice-chancellor. The vice-chancellor’s deputy is appointed by the board of governors.”

At SLU, the vice-chancellor’s deputy is referred to as the deputy vice-chancellor (*prorektor*).

### 2.3 Duties of the vice-chancellor

The duties of the vice-chancellor are:

to submit proposals to the board for an operational plan and allocation of direct government funding for the coming budget year<sup>3</sup>;

to decide on the budget for the university on the basis of the budget guidelines specified by the board, the operational plan and the allocation of direct government funding, as well as other known input values;

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<sup>3</sup> This duty may not be delegated.

to decide on 1) a budget model, and 2) which profit measures are to be used to follow up the faculties' operations so that they are comparable and ensure accurate reporting at university level;

to decide annually on an investment plan and a management plan for the university's real estate as specified in the Ordinance on the Management of State-Owned Real Estate (1993:527);

to decide on the payment of compensation in accordance with the Ordinance (1982:1077) on the compensation from public funds for damage caused by students at state higher education institutions during placement at private-sector workplaces;

to decide on the internal procedures for the election of members to the Swedish Research Council and other government research funding bodies in accordance with the stipulations issued by the government at any given time;

to specify the guidelines for the application of inter-faculty subject areas;

to decide, following consultation with the chairman of the board, on a temporary freeze on admissions for announced degree programmes;

to appoint examiners;

to comment on a faculty's proposed teaching and research duties when recruiting a new professor;

to comment on a faculty's proposal for the research subjects to be offered within the faculty;

to decide on joint university guidelines for doctoral education and for the appointment of docents;

to decide, as necessary, on guidelines for work on the boards to be established by the faculty boards in accordance with section 3.6;

to decide on university-wide definitions for the names of organisational units;

to appoint deans in accordance with the detailed specifications of section 6;

to decide on the division of the faculties into departments and other organisational units and to appoint the heads of these;

to appoint a head of university administration who is responsible for the administration of the university and has the powers granted by the vice-chancellor;

to decide on other matters which the SLU Board has not reserved the right to decide upon or expressly delegated to other bodies within the university. If a decision concerns the design or implementation of a real estate project or other investment and the investment exceeds SEK 10 million, the vice-chancellor must inform the board. This also applies for the acquisition or disposal of real estate where the purchase price exceeds SEK 10 million. If the decision concerns a lease agreements relating to renting/letting where the agreement period is more than 10 years, the vice-chancellor must inform the board.

The vice-chancellor may appoint one or more pro vice-chancellors with specific areas of responsibility. The pro vice-chancellors may be appointed for as long as the vice-chancellor's period of employment plus six months.

## 3. Faculties and faculty boards

### 3.1 Definitions

At SLU, the designation *faculty* is an umbrella term for the organisational units for which the faculty board/dean is responsible. The underlying decisions concerning each faculty's responsibility for departments were made by the board on 3 March 2003, Section 24; on 29 April 2003, Section 36/03 and on 20 June 2013, Section 57/13. The SLU Board annually decides on the scope of each faculty's activities through the allocation of direct government funding and duties, as well as through the conditions that apply to the use of the government funding that is available.

Each faculty is run by its faculty board and dean. The chair of a faculty board is called a *dean*. The deputy chair is called a *deputy dean*. The dean has responsibility and authority to the extent delegated by the faculty board to its chairperson. The dean also has responsibility and authority as a line manager between the vice-chancellor and heads of department (or equivalent) to the extent decided by the vice-chancellor. In the absence of the dean, the deputy dean assumes the authority of the dean in all respects unless decided otherwise by the vice-chancellor or faculty board in each individual case. A faculty board may have no more than one member and one deputy appointed by the electorate who does not have the research or artistic competence referred to in Chapter 2, Section 6 of the Swedish Higher Education Act (1992: 1434). The dean and deputy dean must have such competence<sup>4</sup>. The majority of those elected to a faculty board must be members of the electoral assembly.

A faculty board may, at the suggestion of the dean, appoint one or more vice deans with specific areas of responsibility. Vice deans may be appointed for no longer than the period for which the faculty board is appointed plus three months. A vice dean who is not a member or deputy on the faculty board is entitled to be present and make representations at faculty board meetings.

*Faculty level* means both the faculty board and the dean. The SLU Board and the vice-chancellor may assign duties to the faculty boards, deans or to faculty level. In the last case, the dean decides whether the faculty board or the dean is to be responsible for performing the duties.

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<sup>4</sup> This requirement for research or artistic competence came into effect for the mandate period 2016-2018 for those elected as new members; the provisions applicable at the time of the 2012 election apply to those re-elected. The requirement for research or artistic competence is based on the text of Chapter 2, Section 6 of the Swedish Higher Education Act (1992:1434), which has been in force since 2011, and the underlying reasoning given in prop. 2009/10:149, *En akademi i tiden – ökad frihet för universitet och högskolor*, page 37.

The locations where the faculties have their base (in accordance with section 3.2) are the university's *main sites*. The vice-chancellor is responsible for ensuring that the main sites have the infrastructure necessary to conduct research, teaching and environmental monitoring and assessment (EMA) to the extent decided by the board, vice-chancellor and faculty boards.

### 3.2 Name, composition and general duties of the faculty boards

All faculties must conduct their operations in accordance with the vision "SLU plays a key role in development for sustainable life, based on science and education" and the mission statement "SLU conducts education, research and environmental monitoring and assessment in collaboration with society at large. Through our focus on the interaction between humans, animals and ecosystems and the responsible use of natural resources, we contribute to sustainable societal development and good living conditions on our planet".

The *Faculty of Landscape Architecture, Horticulture and Crop Production Science* (the LTV Faculty) is based in Alnarp. The faculty board has ten members and two deputies. Seven members and two deputies are appointed by the eligible voters at the faculty. Three members are appointed by Sluss.

The faculty is responsible for research, education and EMA within the fields of landscape and horticulture. This takes place with close external collaboration and is carried out at both national and international level. The faculty is also responsible for cultivation systems, plant breeding and plant protection together with the Faculty of Natural Resources and Agricultural Sciences and the Faculty of Forest Sciences. The university as a whole is responsible for issues relating to the environment, health, quality of life, food, water and production.

The *Faculty of Natural Resources and Agricultural Sciences* (the NJ Faculty) is based in Uppsala. The faculty board has eleven members. Eight members and two deputies are appointed by the eligible voters at the faculty. Three members are appointed by Sluss.

The faculty is responsible for research, education and EMA within the fields of agriculture and rural development. This takes place with close external collaboration and is carried out at both national and international level. The faculty is also responsible for cultivation systems, plant breeding and plant protection together with the Faculty of Landscape Architecture, Horticulture and Crop Production Science and the Faculty of Forest Sciences. The university as a whole is responsible for issues relating to the environment, health, quality of life, food, water and production.

The *Faculty of Forest Sciences* (the S Faculty) is based in Umeå. The faculty board has eleven members. Eight members and two deputies are appointed by the eligible voters at the faculty. Three members are appointed by Sluss.

The faculty is responsible for research, education and EMA within the field of forestry, including forest ecosystems and their sustainable use. This takes place with close external collaboration and is carried out at both national and international level. The faculty is also responsible for cultivation systems, plant breeding and plant protection together with the Faculty of Landscape Architecture, Horticulture and Crop Production Science and the Faculty of Natural Resources and Agricultural Sciences. The university as a whole is responsible for issues relating to the environment, health, quality of life, food, water and production.

The *Faculty of Veterinary Medicine and Animal Science* (the VH Faculty) is based in Uppsala. The faculty board has eleven members. Eight members and two deputies are appointed by the eligible voters at the faculty. Three members are appointed by Sluss.

The faculty is responsible for research, education and EMA within the fields veterinary medicine, veterinary nursing and animal science. This takes place with close external collaboration and is carried out at both national and international level. The university as a whole is responsible for issues relating to the environment, health, quality of life, food, water and production.

### 3.3 Joint provisions

#### *Deputies*

Deputies shall be appointed first and second deputy to indicate the order in which they are to join the board as replacements. The deputies join the faculty board in the place of ordinary members who leave the faculty board during the current term of office or in their temporary<sup>5</sup> absence. If both deputies have joined the faculty board as ordinary members in place of members who have left and a further member leaves, the eligible voters shall be convened to appoint a new member and two deputies. If there is one year or less of the term of office remaining, the position shall be left vacant if the faculty board considers it unnecessary to convene the electoral assembly. A deputy who has not joined the board as a voting member shall be entitled to be present and make representations.

#### *Attendance with entitlement to be present and make representations*

The staff organisations shall be given the opportunity to attend faculty board meetings with entitlement to be present and make representations. The faculty board may also appoint up to three other people who represent the rest of society, “external members”, to be present and make representations at faculty board meetings.

#### *Action to be taken on the departure of a dean or deputy dean during the term of office*

If a dean leaves during the term of office and is replaced by the deputy dean, the faculty board shall convene in order to establish whether one of the members or deputies on the

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<sup>5</sup> Temporary absence refers to an entire meeting or to one or more matters discussed during a meeting.

board is prepared to act as deputy dean. If this is the case, the vice-chancellor, at the suggestion of the dean, may appoint this person as deputy dean for the remainder of the term of office. The same procedure shall apply if the deputy dean leaves during the term of office. If it is not possible to appoint a deputy dean in this way, those entitled to vote shall be given the opportunity to appoint a new member of the faculty board who is prepared to be appointed deputy dean by the vice-chancellor.

If both the dean and the deputy dean leave at the same time, the vice-chancellor shall have the faculty board convened in order to establish whether any of its members or deputies are willing to assume the relevant duties. If this is the case, the vice-chancellor may, following consultation with the chair of the SLU Board, appoint those persons as dean and deputy dean respectively for the remainder of the term of office or until a by-election has taken place.

*Action to be taken if a faculty board leaves or could not be elected*

If an entire faculty board leaves during the term of office, the vice-chancellor may, following consultation with the chair of the SLU Board, appoint a head and deputy head of the faculty until the board has decided how to resolve the situation. If the faculty board's term of office expires and it has not been possible to conduct an ordinary election, the vice-chancellor may extend the term of office of the outgoing board by up to three months if those concerned are willing to do so. If this procedure is not possible, the vice-chancellor may, following consultation with the chair of the board, appoint a head and deputy head of the faculty until the board has decided how to resolve the situation. The person appointed head of faculty shall have the powers of a faculty board and dean, unless these powers are limited by the vice-chancellor.

### 3.4 Term of office of the faculty boards

*Ordinary elections*

Those entitled to vote appoint members and deputies to the faculty board for an ordinary term of office of three calendar years, starting on 1 January 2019. The election shall take place during the period 1 October–30 November in the year preceding the beginning of a new ordinary term of office.

*New election to faculty board*

The SLU Board may decide that the election of a new faculty board shall take place at a different time and with a different term of office than in an ordinary election. The board shall also stipulate in this case how the election committee for the new election is to be appointed and how the election is otherwise to be organised.

### 3.5 Duties of the faculty boards

The duties of a faculty board are:

*With regard to general and organisational matters*

to decide on the main focus of activities within the context of its general duties and to create favourable conditions for education, research and EMA within the board's area of responsibility;

to decide, within the framework defined annually by the SLU Board and the vice-chancellor, on the duties and resource allocation of departments and other units;

to decide on the subject areas to be offered within the faculty, having first obtained the vice-chancellor's opinion;<sup>6</sup>

to be responsible for operations being adapted so as to achieve a high level of quality in education, research and EMA and to ensure the effective use of the available resources;

to monitor and analyse developments in its own operations and those in relevant areas of the outside world, and to make any changes necessary;

to decide on the organisation of the faculty with regard to division into boards, committees, etc. and the division of responsibility between these bodies<sup>7</sup>, (delegation of authority for the faculty), in compliance with the provisions of section 3.6;

to appoint, no later than 15 May of the year in which the election of the faculty board is to be held, members and personal deputies to the faculty election committee as specified in more detail in section 5;

to appoint a chair and a deputy chair from among the ordinary members of the election committee;

to stipulate in more detail the formalities for appointing the election committee and consider the option of using the electoral assembly as an advisory body;

to decide on such investments as the dean has the authority to decide on but chooses to submit to the faculty board for a decision;

to be responsible for policies, guidelines and other governing documents established by the SLU Board, the vice-chancellor or other qualified member of staff being applied within the faculty;

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<sup>6</sup> As specified in section 2.3, the vice-chancellor establishes guidelines for the subject areas that are common to several faculties.

<sup>7</sup> The vice-chancellor decides on the division into departments, as stipulated in section 2.3.



to prepare certain issues on behalf of the vice-chancellor and provide support for investigations.

*With regard to doctoral education*

to decide on the subjects in which to offer doctoral education, having first obtained the vice-chancellor's opinion;

to have overall responsibility for the quality of education;

to admit doctoral students to doctoral-level programmes in accordance with the admission regulations;

to be responsible for doctoral education being provided in accordance with the guidelines stipulated by the vice-chancellor.

*With regard to education at first-cycle and second-cycle level:*

to plan teaching posts so as to provide the conditions for high-quality education on a research or artistic basis and based on proven experience;

to appoint a chair and other members of the programme boards in accordance with the stipulations of section 8;

to give its opinion on the proposals of the programme boards to the Board of Education with regard to the range of programmes to be offered;

to comment on proposals for new programme syllabuses before these are adopted by the Board of Education.

*With regard to external collaboration and EMA*

to ensure that collaboration with society, business and industry is realised;

to decide on the resources for and steering of the reporting area of EMA and to be responsible for the quality assurance of this area.

*With regard to recruitment and promotion*

to appoint external experts for the employment of professors, senior lecturers and other positions where external expert review is required<sup>8</sup>;

to decide on when the recruitment of a professor is to take place and at the same time establish the position description, having first obtained the views of the vice-chancellor on the teaching and research duties;<sup>9</sup>

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<sup>8</sup> This duty may not be delegated on a permanent basis.

<sup>9</sup> The decision to begin the recruitment process for a professor may not be delegated.

to assess and provide suggestions on matters relating to the employment of professors, senior lecturers and associate senior lecturers in accordance with the stipulations of the appointment procedures;

to appoint docents in accordance with the guidelines stipulated by the vice-chancellor;

to appoint honorary doctors.

### 3.6 Organisation, etc. of the work of the faculty boards

A faculty board shall establish a preparatory working committee consisting of the dean, deputy dean, at least one other member of the faculty board appointed by those entitled to vote and one student representative. The dean may decide that additional members of staff can participate in the discussions of the working committee. The committee shall prepare the meetings of the faculty board and propose decisions, as well as provide advice to the dean on the management of the faculty.

In addition to a programme board for education at first-cycle and second-cycle level (PN), each faculty must have the following boards<sup>10</sup>: academic appointments board (LFN), docent board (DN), board for doctoral education (Fun) and a board for EMA issues (Fomar)<sup>11</sup>. The boards are appointed by and report to the faculty board. The chair of a board must be a member or deputy on the faculty board or be a vice dean. A board must have an odd number of members and Sluss has the right to appoint student representatives. The composition of the academic appointments board is stipulated in the appointment procedures for SLU teachers as established by the SLU Board.<sup>12</sup> The vice-chancellor may issue guidelines for the work of the other boards.

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<sup>10</sup> A faculty board may decide that issues relating to EMA are to be prepared by the faculty board or another board within the faculty.

<sup>11</sup> To avoid confusion, the board name should be followed by the abbreviation of the faculty name, e.g. LFN-LTV, Fun-S, DN-VH, etc.

<sup>12</sup> On 19 February 2018 (Section 10/18), the SLU board adopted appointment procedures which entered into force on 1 April 2018.

## 4. Faculty electoral assemblies and voting rights at faculty board elections

### 4.1 Composition

In order to be part of a faculty electoral assembly, an employee must work at least half-time and hold a position that is permanent for a given consecutive period no shorter than two years in total. The employee must hold the position of professor, senior lecturer, associate senior lecturer, researcher, environmental assessment specialist, post-doctor, lecturer, analyst, research group leader, experiment group leader, field mycologist, field pathologist or field entomologist.

A faculty board may not delegate other *executive* duties than those stated in this delegation of authority. The faculty board may nevertheless stipulate that the electoral assembly has an *advisory* function on, for example, the appointment of vice deans, honorary doctors or the election committee.

### 4.2 Voting rights at faculty board elections

During faculty board elections, the following people are entitled to vote:

- a) the faculty electoral assembly;
- b) those with a doctorate who are employed at a faculty and hold position that is at least half-time and permanent for a given consecutive period no shorter than two years in total.

The duties of those entitled to vote are to appoint the number of members and deputies to the faculty board as specified in section 3.2 above and to submit proposals to the vice-chancellor for which of the faculty board members should be appointed dean and deputy dean.

A voter who is on leave from SLU retains the right to vote.

## 5. Faculty election committees

### 5.1 Composition

The election committee within a faculty must have five or seven members. The faculty board decides on the number of members. An even gender distribution should be sought for an election committee; there may not be fewer than two members of either sex. Each member must have a personal deputy to replace the ordinary member if they leave during the term of office. A faculty board may decide that the deputies can also take the place of a member in the event of temporary absence. If a member of an election committee accepts a nomination as member/deputy on the faculty board or is appointed vice dean, the member shall be deemed to have left the election committee and their place shall be taken by their personal deputy.

The members of the election committee must be employed at SLU and in the first instance recruited from the electoral assembly. No more than one member and one deputy may be recruited from outside the electoral assembly. The chair and the deputy chair of each of the four faculties' election committees together form the election committee of SLU, in accordance with section 1.4.

A faculty board shall decide, before 15 February of the year in which the election of the faculty board is to take place, on how the election committee is to be appointed. The faculty board should invite the members of the electoral assembly to nominate members for the election committee and then organise a primary election among those proposed. The faculty board shall subsequently appoint the election committee before 15 May in accordance with the provisions of section 3. The election committee shall assume its duties on 1 June of the year in which it is appointed.

### 5.2 Duties

The duties of the faculty election committees are:

to propose members and deputies for the faculty board as specified in section 3.2 and in accordance with the procedure specified in section 6;

to otherwise perform the preparatory duties assigned to the election committee by the faculty board. Before such decision is made by the faculty board, the chair of the election committee shall be given the opportunity to influence the assignment.

## 6. Basic provisions for the election of members and deputies to the faculty boards

1. The electoral register for regular faculty board elections is established by the vice-chancellor no later than 15 September of the year in which the election is to take place. The electoral register must, unless something else is expressly stated in the decision, be based on the employment relationships in place on 1 September. The vice-chancellor may at this point, if there are particular grounds, decide to extend voting rights in the election in question to academically qualified employees other than those with voting rights under section 4.2. This option shall be exercised sparingly. The deans must, to harmonise their proposals, consult with each other well in advance before submitting proposals to the vice-chancellor as to who should be granted voting rights on particular grounds.

2. The election committees shall provide those with voting rights the opportunity to nominate candidates for each faculty board. An election committee is free to hear whoever it likes, including others than those entitled to vote, in order to find candidates. After the end of the nomination period, the election committees shall consider the proposed candidates and hold the necessary interviews. Unless there are exceptional circumstances, at least one third of those proposed must be female and at least one third must be male. Election committee proposals must be divided into three categories:

Category 1) faculty board member and proposed chair proposal (dean);

Category 2) faculty board member and proposed deputy chair (deputy dean);

Category 3) other members/deputies.

An election committee shall observe both the requirement for a majority of the members nominated by the eligible voters to be members of the electoral assembly and the requirement for research or artistic competence as specified in section 3.1.

3. Once an election committee has concluded its deliberations, the chair of the election committee shall inform the vice-chancellor of its proposal, in particular the names of those the election committee proposes for the positions of chair and deputy chair of the faculty board. If the vice-chancellor agrees to the proposed chair and deputy chair, the election committee shall inform those entitled to vote of this proposal<sup>13</sup>. Those entitled to vote shall at the same time be given the opportunity to nominate persons other than those proposed by the election committee. Those who are nominated in this way, and who expressly consent to their nomination, shall be added to the electronic ballot together with the proposal from the election committee.

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<sup>13</sup> If the vice-chancellor does not consent to the proposal, the election committee shall be convened in order to decide who to propose for the position(s) in question.

4. After consulting with the chairs of the election committees, the vice-chancellor decides the election period and detailed provisions for faculty board elections. The vice-chancellor shall, as soon as the schedule and provisions have been established, notify the faculty electorate of this through their respective election committees.

5. The dean decides on the electoral register, schedule and other necessary provisions for by-elections.

## 7. The Board of Education (UN)

### 7.1 Composition

The Board of Education (UN) consists of a chair, five teachers/researchers and three members appointed by Sluss. The chair is appointed by the vice-chancellor. If the vice-chancellor does not assume the chairpersonship, the deputy vice-chancellor or someone with a pro vice-chancellor position shall be appointed chair. The chair and teachers/researchers must have personal deputies. The five teachers/researchers and their personal deputies are appointed by the vice-chancellor, following the proposal of the election committee. The vice-chancellor should also, after consultation with the deans, appoint an external member experienced in the higher education sector.

The members and deputies appointed by the vice-chancellor must have the research or artistic competence referred to in Chapter 2, Section 6 of the Swedish Higher Education Act (1992:1434) and must fulfil the assessment criteria stipulated in Chapter 4, Sections 3-4 of the Swedish Higher Education Ordinance (1993:100) in order to be employed either as a professor or as a senior lecturer. The vice-chancellor decides whether the requirements can be considered to have been met.

The Board of Education shall be composed of members who reflect the university's disciplinary domains as much as possible. Before a new term of office, the vice-chancellor shall inform the election committee of the specific criteria for the period.

Personal deputies only take part in meetings if the regular member leaves during the term of office, or if they are prevented from attending. Staff organisations shall be entitled to be present and make representations at UN meetings.

The members and personal deputies are appointed for a period of three years beginning at the same time as the faculty boards. The chairs of the programme boards are entitled to be present and make representations.

### 7.2 Duties

The duties of the UN with regard to education at first-cycle and second-cycle level are:

to be responsible for how the courses and programmes are to be included in and contribute to the realisation of SLU's strategy;

to be a general body for the university, tasked with handling strategic issues on educational quality intended to support, coordinate, stimulate and develop education at first-cycle and second-cycle level, and to assign duties to the programme boards in order to do so;

to propose, for the decision of the SLU Board:

- programmes to be offered each year and, where appropriate, the establishment and discontinuation of degree programmes;

to submit proposals to the vice-chancellor for:

- educational commissions and the annual allocation of direct government funding to faculty boards and to provide general comments and proposals with regard to joint operations within the reporting area<sup>14</sup>;
- the number of new places on each degree programme and the freestanding courses offered;
- the suspension (temporary freeze on admissions) of a degree programme; proposal submitted as appropriate;

to comment on issues or, where appropriate, to draft proposals for other decisions to be taken by the SLU Board or the vice-chancellor;

to decide on:

- which main fields of study will be offered for general qualifications at first-cycle and second-cycle level at the university;
- which subjects are to be offered at the university without being main fields of study;
- principles of prioritisation for the range of freestanding courses offered;
- guidelines, policy documents and action plans at first-cycle and second-cycle level;
- programme syllabuses;
- the remuneration levels for courses that will be applied by the programme boards;
- semester dates;

to appoint its own deputy chair;

to grant additional persons entitlement to be present and make representations at meetings, as required.

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<sup>14</sup> The proposal of the UN forms the basis of the vice-chancellor's proposal to the board with regard to direct government funding and commissions.



## 8. Programme boards (PN) for education at first-cycle and second-cycle level

### 8.1 Composition

The vice-chancellor specifies which programme boards there are and how they are composed and linked to the faculties. The members are appointed by the respective faculty boards for a period of three years, and take up their positions no later than three months after the newly elected faculty board is established. The student members are appointed by Sluss. The members appointed by the faculty boards must have the research or artistic competence referred to in Chapter 2, Section 6 of the Swedish Higher Education Act (1992:1434). At the request of a faculty board, the vice-chancellor may decide to exempt a maximum of one member or deputy from this requirement.

### 8.2 Duties

As per the SLU Board's decision on 16 December 2020, Section 103/20

The duties of the programme boards are:

to submit proposals to the UN, in consultation with the faculty boards, for the strategy for education within their area of responsibility, when the university strategy is revised;

to annually submit proposals to the UN concerning the following:

- degree programme offer and the number of places;
- programme syllabuses, as well as on any changes to these, where necessary;

to decide annually on the course instances to be offered;

to appoint a programme director of studies<sup>15</sup> for each programme who has the qualifications and authority stipulated in the guidelines established by the vice-chancellor;

to decide on:

- admissions to the latter part of programmes;
- course syllabuses;
- remuneration levels for programme courses and freestanding courses in accordance with UN guidelines;
- issues relating to admissions to programmes with local admissions.

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<sup>15</sup> The position of programme director of studies is for a period of three years with a term of appointment decided by the vice-chancellor.

to ensure that degree programmes and freestanding courses maintain high quality standards and in this respect to take initiatives and be responsible for the regular evaluation of programmes. The UN and relevant faculty boards must be informed of the results;

to grant additional persons entitlement to be present and make representations at meetings, as required.

## 9. Staff disciplinary board

### 9.1 Composition

The staff disciplinary board consists of the vice-chancellor (chair), two employee representatives and up to a further three members appointed by the SLU Board for a period of three years beginning six months after the newly elected board assumes office. The employee representatives are appointed in accordance with the provisions of the Staff Representatives Ordinance (1987:1101).

### 9.2 Duties

The duties of the staff disciplinary board are:

1. termination of employment for personal reasons, where the employment is not probationary;
2. disciplinary responsibility;
3. notification of legal actions;
4. suspension.

(Section 25 of the Government Agencies and Institutes Ordinance (2007:515)):

## 10. Internal audit

### 10.1 General

The SLU Board has responsibility for the internal audit function, as specified in the Internal Audit Ordinance (2006:1228) together with the associated regulations and general recommendations. They state that the board must decide on:

1. internal audit guidelines,
2. an audit plan for the internal audit function, and
3. measures resulting from the observations and recommendations of the internal auditors.

### 10.2 Internal audit guidelines

As per the SLU Board's decision of 19 June 2019, Section 51/19

The task of the internal audit function is to add value to SLU operations and support the development of appropriate internal checks and controls.

The internal audit must be carried out in accordance with the Internal Audit Ordinance together with associated regulations and general recommendations as well as guidelines for professional internal audits (Internal Professional Practice Framework, IPPF). This means that the internal auditors must work objectively, independently, professionally, with great integrity and in accordance with accepted working methods. It also means that internal audit must quality assure its own work through internal and external quality assessments.

The internal audit function should, based on an analysis of operational risks, independently review internal checks and controls to determine whether these are designed in a way that enables the university to, with reasonable certainty, fulfil its obligations, operational objectives and the requirements in the Government Agencies and Institutes Ordinance (2007:515), Section 3.

The internal audit function comprises all operations run by the university and for which the university is responsible.

The internal audit function is independent of the operational activities and reports directly to the vice-chancellor. The vice-chancellor decides on the appointment and salary of the head of the internal audit function, in consultation with the chair of the SLU Board.

The head of internal audit must be employed on the basis of an executive pay agreement.

The internal audit function must also support the SLU Board and the vice-chancellor as well as others within SLU with advice and support within the internal audit's areas of competence, subject to time being available for assignments. This advisory service may not infringe on the internal audit function's independence and objectivity. The internal audit function's advice and support does not deprive the public authority management of its responsibility.

The head of the internal audit function is responsible for drafting a proposed annual audit plan. The audit plan should be based on the annual risk analysis, which in turn is based on the university's assessment of critical factors/risks that may affect the fulfilment of objectives and assignments, as well as on the internal audit function's own analysis. This analysis includes an assessment of the danger of undue influence, fraud or other irregularities.

The audit plan should be prepared in cooperation with the chair of the SLU Board, the vice-chancellor and the head of university administration before it is adopted by the board at its last meeting of the year. If, during the course of the year, a need arises for significant deviation from the adopted audit plan, the head of the internal audit function shall inform the chair of the board and the vice-chancellor of this and submit a proposal for a revised audit plan for adoption by the board. Significant deviation means the removal of one or more activities from the adopted audit plan or the addition of an activity that must be reported to the board.

The audits should continually be reported to the SLU Board.

The final audit report must be submitted to the vice-chancellor and the head of university administration no later than six weeks before the next board meeting. The chair of the board must receive a copy.

The vice-chancellor must, in writing, comment on the contents of the report. He/she is also responsible for drafting an action plan and submit this to the board.

The action plan must indicate the actions deemed necessary to rectify any failings that have been identified.

The action plan must contain information about:

- the action to be taken;
- the deadline for such action to be taken;
- the unit or manager responsible;
- if applicable, how the actions taken are to be documented.

The internal auditors shall be given a reasonable period in which to assess and comment on the final proposal for the action plan before it is finalised and submitted to the SLU Board for a decision. Once the board has approved the action plan, the audit is closed and the plan is a public document.

The internal auditors submit an annual report to the SLU Board on the work carried out during the previous year. The report must include operational follow-ups and approved actions. This report is submitted to the first meeting of the board each year.

The vice-chancellor is responsible for the allocation of resources to internal auditing being sufficient for the audit assignment to be carried out in accordance with the audit plan adopted by the board. The internal auditors are entitled to see such information and documentation as it deems necessary in order to perform its duties. The internal audit function shall be entitled to engage external consultants within the parameters of its duties and available resources.

The activities of the internal auditors shall be subject to external quality assurance every five years. The results of this review shall be presented to the SLU Board by the external contractor.

The internal auditors must continually develop their professional skills using established professional development plans.

The internal audit function shall strive to create and maintain good contacts and relationships with internal audit units at other higher education institutions and public authorities. In the event it is considered beneficial to the university, agreements may be concluded with other public authorities on the coordination of internal audits. Such agreements shall be for a limited period and shall be signed by the vice-chancellor, following consultation with the chair of the SLU Board.

## 11. The University Animal Hospital (UDS)

The vice-chancellor is responsible for ensuring that there is a University Animal Hospital (UDS) and to appoint a head of the hospital who reports to the vice-chancellor.

UDS' assignment is to act as a clinical resource for the university in matters relating to animal health care education and research. This assignment presupposes and involves:

to plan and carry out UDS work in close cooperation with education and research management at SLU within the field of animal health care regardless of how the work is organised over time (below, based on today's organisational structure, called the VH Faculty);

to ensure that UDS takes up new scientific achievements, among other things by cooperating closely with the VH Faculty;

to ensure that UDS gives students on the veterinary medicine and veterinary nursing programmes the possibility to take part of UDS operations within the framework of their education;

to adapt UDS scheduling to the needs of the courses and programmes as much as possible;

to ensure that UDS, together with the VH Faculty, contributes to the long-term supply of clinically well-educated teachers, and that UDS subsequently focuses on employing people who are greatly interested, talented and well-suited for these roles;

to, as part of this assignment, also carry out structured specialist education and residency programmes.

In addition, the following is expected:

- the general and specialised animal health care carried out at UDS are of the highest quality and with a disciplinary foundation;
- UDS strives to be among the best animal hospitals in the country, and, in cooperation with the rest of SLU, be the frontrunner in Europe in the field of clinical veterinary medicine, thereby contributing to SLU's objective to be a world-class university;
- UDS, together with the VH Faculty, constitutes an obvious authority for consultations and expertise for Sweden's veterinary surgeons and animal owners;
- clinical operations at UDS are run commercially with a strong client focus.