



UPPSALA
UNIVERSITET

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Procedures for the management of governance documents at Uppsala University

Approved by the University Director, 15 November 2016

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1 Background

On 7 September 2015 the University Director instructed the Planning Division to review the University's statements of goals and strategies and other governance documents (UFV 2015/1242). These instructions involved reviewing the terms used to designate statements of goals and strategies and other governance documents adopted by the University Board, the Vice-Chancellor or the University Director, or at division level or disciplinary domain/faculty board level. Once adopted, these documents must be made accessible and searchable in an appropriate way.

These *Procedures for the management of governance documents at Uppsala University* replace the previously adopted *Guidelines for the production of governance documents at Uppsala University* (UFV 2009/579).

2 Governance documents at Uppsala University: system and concepts

The terms and decision-making levels below describe the system that applies to governance documents adopted by the University Board, the Vice-Chancellor, the University Director, disciplinary domain boards, faculty boards and heads of division. These documents are accessible in the Goals and Rules Library.

2.1 Goals and Strategies

Goals and Strategies documents contain decisions governing overall, long-term results-based management.

a) Mission and Core Values / Goals and Strategies

Uppsala University's overall goals and strategies are set by the University Board in the Mission and Core Values document, which provides the basis for formulating goals and strategies for other parts of the organisation.

- Decision-maker: University Board, disciplinary domain board, faculty board, University Director.
- The document indicates the University's or the disciplinary domain's overall vision, goals and strategies.
- Period of validity: To be updated regularly according to a set procedure.

b) Programme

Programmes are statements of goals and strategies for specific areas such as quality, internationalisation, external collaboration, sustainable development and equal opportunities. The University Board decides on University-wide programmes. Disciplinary domain boards and faculty boards may decide on programmes for their domain or faculty.

- Decision-maker: University Board, disciplinary domain board, faculty board.

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- Programmes are University-wide statements of goals and strategies based directly on the University's Mission and Core Values. Programmes are not to include fine-tuning in the form of targeted instructions or detailed measures.
- Period of validity: To be updated regularly according to a set procedure.

c) Action plan

Action plans translate programmes into action to achieve set objectives. The Vice-Chancellor decides on University-wide action plans. Disciplinary domain boards and faculty boards may decide on action plans for their domain or faculty.

- Decision-maker: Vice-Chancellor, disciplinary domain board, faculty board.
- Action plans give detailed substance to goals and strategies so as to achieve set objectives.
- Action plans contain targeted instructions including a requirement to report on actions taken for follow-up.
- Period of validity: Fixed term, usually 3 years.

d) Policy

Policies state general objectives or values that must be taken into account in a specific area. A policy should be supplemented by other governance documents. Alternatively, it can form part of an action plan or a guideline.

- Decision-maker: Vice-Chancellor.
- Period of validity: To be updated regularly according to a set procedure.

2.2 Activity planning and follow-up

Activity planning and follow-up documents relate to decisions on annual planning and follow-up designed to integrate the goals and strategies in the ordinary planning of activities.

a) Planning

- Decision-maker: University Board, disciplinary domain boards, faculty boards, University Director.
- Planning documents include operational plans, budget documentation, and research and education strategies.
- Period of validity: Limited as stated (usually 1–3 years).

b) Follow-up

- Decision-maker: University Board.
- Follow-up documents include annual accounts and the annual final report on internal management and control.
- Period of validity: Limited as stated (usually 1–3 years).

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2.3 Rules

Rules comprise decisions that involve the exercise of public authority or other regulatory management. The decision-making level for the different types of rules documents corresponds to the University's order of delegation.

a) Regulations

Rules adopted following authorisation by the government in an ordinance.

- Decision-maker: University Board or Vice-Chancellor.
- Period of validity: According to a set procedure for updating.
- University Administration officials in charge of the area are responsible for reviewing the regulations and drafting proposals for their revision.

b) Guidelines

Rules based on external regulatory systems and regulations.

- Decision-maker: The Vice-Chancellor decides on University-wide guidelines. Disciplinary domain boards and faculty boards decide on guidelines as local applications for their domain or faculty.
- Period of validity: To be updated regularly according to a set procedure.
- Heads of division in the University Administration in charge of the area are responsible for reviewing University-wide regulations and drafting proposals for their revision in preparation for decisions by the Vice-Chancellor. The disciplinary domain boards and faculty boards are responsible for their own local guidelines.

c) Procedures

Procedures regulate how a rule is to be applied and what is to be done at a more detailed level.

Procedures are to take the form of approved, registered documents applying or interpreting regulations and guidelines.

- Decision-maker: University Director, relevant head of division or disciplinary domain/faculty board, within the framework of their responsibility for an area or domain.
- Period of validity: To be updated regularly according to a set procedure.
- Heads of division in the University Administration in charge of the area are responsible for producing, reviewing and revising procedures. Disciplinary domain and faculty boards are responsible for local procedures.

Document and decision-making system for Goals and Rules

Decision-making level	University Board	Vice-Chancellor	Disciplinary domain/ faculty board	University Director	Head of Division
Goals and strategies					
Mission and Core	X		X	X	

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Values/Goals and Strategies					
Programmes	X		X		
Action plans		X	X		
Policies		X			
Annual activity planning and follow-up					
Planning	X		X	X	
Follow-up	X				
Rules relating to exercise of public authority and other regulatory management					
Regulations	X	X			
Guidelines		X	X		
Procedures			X	X	X

2.4 Recommendations and administrative information

In addition to the governance documents and procedures established as described above, there is also a need for various types of recommendations, guidance documents and administrative information. These relate to practical application and information and are published on the intranet (Medarbetarportalen), but not in the Goals and Rules Library. Normally they are dealt with as part of ongoing activities and do not require a formal decision.

3 Organisation

3.1 Editorial group for the Goals and Rules Library

The Goals and Rules Library is managed by an editorial group consisting of:

- two document managers from the Planning Division, one of whom serves as editor-in-chief
- one document manager each from the Student Affairs and Academic Registry Division, the Financial Administration and Procurement Division, the Human Resources Division, the IT Division and the Security and Safety Division (five document managers)
- one document manager from each faculty office (three document managers).

The editorial group has overall responsibility for quality assurance of the Goals and Rules Library, and for jointly initiating and coordinating development activities relating to the ongoing management of governance documents at Uppsala University.

The editorial group is responsible for:

- providing templates/writing instructions for various types of governance documents;

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- providing procedures for regular updating of all governance documents in the Goals and Rules Library;
- ensuring that information about the management of governance documents and the Goals and Rules Library is communicated in relevant channels;
- participating in coordination between the Goals and Rules Library and the intranet.

3.2 Editor-in-chief

The role of the editor-in-chief is to:

- chair and convene the editorial group;
- exercise responsibility for the publication of governance documents adopted by the University Board, the Vice-Chancellor and the University Director;
- ensure that current procedures and templates for working on the University's governance documents are accessible;
- provide advice and support to officials producing new goals and rules documents and revising existing documents;
- ensure regular follow-up of documents in the Goals and Rules Library, in accordance with established procedures.

3.3 Document managers

Document managers are appointed for each disciplinary domain/faculty board and for each division that is authorised to publish governance documents in the Goals and Rules Library.

The role of document managers is to:

- exercise responsibility for the publication in the Goals and Rules Library of governance documents adopted at disciplinary domain/faculty board level or division level;
- ensure that the Goals and Rules Library in their area is up to date and relevant;
- ensure that current procedures and templates for the domain/faculty's work on governance documents are complied with.

3.4 Responsibility of heads of division

The responsibility of heads of division for governance documents in their area is indicated in the University Director's delegation orders to heads of division in the University Administration.