LUNDS UNIVERSITET

DECISION

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Vice-Chancellor

Guidelines for Regulatory Documents at Lund University

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1 Introduction

The University's activities are regulated by laws, ordinances and regulations issued by other public authorities and by other decisions such as the public service agreement and specific assignments for higher education authorities. In addition, there are regulatory documents that the University itself decides on.

These Guidelines state which types of regulatory documents are to be in place at Lund University, what characterises them, and how they are to be titled, designed and published.

The purpose of the Guidelines is to:

- provide clarity and uniformity regarding which types of regulatory documents are to be in place at the University and how these relate to each other.
- make it easy for staff and students to find and understand regulatory documents.

The Guidelines cover decisions on regulatory documents in all parts of Lund University. Decisions on regulatory documents that apply to the entire University are made by the University Board, Vice-Chancellor or other authorised decision-maker in accordance with the applicable delegation rules. Decisions on regulatory documents at other levels are made by the board responsible for this, dean/head of department/equivalent or other authorised decision-maker in accordance with the applicable delegation rules.

In reading these Guidelines, it is important to know that regulations or general recommendations are regulatory documents that the higher education institution, by law and ordinance, have the right to decide on under certain conditions. There are also specific requirements for these regulatory documents regarding content, design etc. (see Chapter 4).

Further information and support for the drafting of cases are provided in the Handläggarhandboken (Handbook for Administrative Officers), which can be found on Medarbetarwebben (in Swedish).

2 Types of regulatory documents

There are to be six types of regulatory documents at Lund University. These are divided into two categories: Goals and direction, and Rules.

Goals and direction	**Rules**
Strategies	Regulations
Policies	General recommendations
Plans	Guidelines

2.1 Strategies

Strategies

- contain overall visions and goals
- may state priorities
- indicate a direction
- are by their nature activating, i.e. the aim is action
- are for a fixed term.

2.2 Policies

Policies

- express the management’s overall intended direction or values that are to be taken into account within the area covered by the policy
- set frameworks for a specific course of action and constitute a strong recommendation for a specific approach
- should be supplemented by other regulatory documents
- apply until further notice.

2.3 Plans

Plans

- contain concrete measures that are needed for goals, in strategies and policies for example, to be fulfilled
- may contain a summary of activities that together are to lead to the fulfilment of goals that are possible to realise and follow up

- are to state who is responsible for measures and activities as well as when these are to be implemented or followed up
- are for a fixed term and cease to apply automatically when the expiry date has passed.

2.4 Regulations

Regulations

- are based on the authorisation in an ordinance
- are rules that determine the actions of the individual and the higher education institution
- are binding and generally applicable
- usually apply until further notice.

2.5 General recommendations

General recommendations

- are general guidance on how a statute (law, ordinance or regulation) can or should be applied in various respects
- usually apply until further notice.

2.6 Guidelines

Guidelines

- establish how someone must or should act in the area covered by the guidelines. A “must” rule is to be complied with, whereas the nature of a “should” rule is more of a strong recommendation, which means that in exceptional cases something can be done in another way
- usually apply until further notice.

3 Drawing up regulatory documents

Before a new regulatory document is to be drawn up or an existing regulatory document is to be revised, it is important to conduct an assessment of the need and benefit of a regulatory document. The assessment is to form the basis for which type of regulatory document

is to be drawn up and provide a clearly formulated purpose for the regulatory document.

Further questions to consider in the work on drawing up regulatory documents include:

- Who decides?
- Does it have financial or other consequences?
- Does it affect other regulatory documents or other documents, and is there a need for active coordination between these?
- Is there a need for consultation with others inside or outside the University?
- Is there a need for supplementary regulatory documents or supporting documents, information on home pages or other material?

The assessments and statements of position that are produced should be documented in a memorandum or other support documentation for decision-making that is registered in the case.

There are specific requirements for regulatory documents that are to be titled as regulations or general recommendations. These requirements are outlined in Chapter 4.

3.1 Document titles

- A regulatory document at Lund University is normally titled using one of the following document types: strategy, policy, plan, regulations, general recommendations or guidelines. The document type must be included in the document's title. In a case where a regulatory document does not clearly belong to one of these document types, a document type is to be selected that best describes the document's main content.

- If it is stipulated in a statute that a higher education institution must have a certain regulatory document that is not appropriate for categorisation as above, it can be titled in a different way. Admission Rules and Appointment Rules are

examples of documents that a higher education institution must have according to the Higher Education Ordinance.

- In general, a regulatory document is not to be a mixture of several types of regulatory documents. Even so, in exceptional cases this may be deemed to be the most practical solution, and the document must then be titled as the type of regulatory document that best describes the document's main content. This exception does not apply to regulations and general recommendations.
- Delegations are not normally included in regulatory documents other than guidelines that regulate the sub-delegation of decision-making powers.

3.2 Compulsory information

Decisions on regulatory documents must be written in the University's accessibility-adapted letter template and must have a cover page that includes the following information:

- type of document in accordance with these Guidelines
- definition of the type of regulatory document in accordance with these Guidelines
- decision-maker
- date of decision
- registration number
- entry into force
- period of validity
- whether the document replaces one or more existing documents
- organisational unit responsible for the document
- administrative officer responsible for the document
- short description of content.

Regulations and general recommendations must not have a cover page, see Chapter 4.

3.3 Joint drafting

A regulatory document may concern several fields and need to involve several organisational units of the University. The organisational unit that is responsible for drawing up the regulatory document is also responsible for inviting other organisational units concerned to participate in a joint drafting process. These in turn have a responsibility to participate in the drafting. If it is unclear which other parts of the organisation need to be involved, contact must be made with those parts that could potentially be relevant in order to investigate whether joint drafting is required and how the procedure is to work in practical terms. It is important that this is done at an early stage in the work so that there is time to put forward and receive viewpoints.

3.4 Communication and implementation

The drafting of decisions on regulatory documents includes the preparation of communication initiatives needed in order to enable recipients to understand and absorb the decision. The decision may need to be supplemented with different types of information and other initiatives in order to achieve the desired effect; for example, how an issue is to be worked on in an ongoing process, information and support for practical application etc.

3.5 Follow-ups

Before a decision on a regulatory document or an amendment to an existing regulatory document, an assessment must be made regarding whether there is a need to follow up the regulatory document. If necessary, a plan must be drawn up for how the follow-up is to be conducted and when its results are to be reported.

A follow-up

- must cover whether the regulatory document has had the desired results
- may vary in scope
- can be conducted continuously or at a given time.

3.6 Revision and revocation

It is important to revoke regulatory documents that apply until further notice when these are no longer relevant. For example, this may concern documents that are no longer appropriate within the intended area or that have been replaced by another regulatory document. In cases where one regulatory document replaces another, this must be stated in the new regulatory document.

In the revision of a regulatory document, the previously approved regulatory document must be revoked and replaced in its entirety by the new regulatory document.

A regulatory document can also be revoked by making a special decision on revocation from a specified date.

4 Specifics for regulations and general recommendations

Regulations have a special status among regulatory documents as they require that the University has the authority to issue regulations. This also sets specific requirements for drafting, content, design etc. To some extent, the rules for general recommendations are the same as those for regulations.

Before regulations or general recommendations are to be drawn up, the Regulation Group must always be contacted via the email address sammantrade@rektor.lu.se. The group consists of staff members from the Legal Division who have the expertise to assist in the work of drawing up regulations or general recommendations, and from the Office of the Vice-Chancellor who have expertise in case management.

4.1 Authorisation

For the University as a public authority to be allowed to issue its own regulations requires an authorisation, i.e. that the Government through an ordinance gives the University the right to issue regulations. The University, in accordance with Chapter 8, Sections 10-11 of the

Instrument of Government (1974:152), may not regulate something in excess of what the authorisation permits. In a case where the University has authorisation to issue regulations in a certain area, this may not be regulated in any form other than regulations.

4.2 Impact assessment

As a general rule, the drafting of decisions on regulations and general recommendations is to include an impact assessment. This must be done at an early stage in order to, among other things, examine and document the rules regarding their costs and other consequences.

Provisions covering when an impact assessment must be carried out and what it is to contain are found in the Ordinance (2024:183) on Regulatory Impact Assessment.

4.3 Content

Decisions on regulations must always be written in the specific template for regulations. The following information must always be included:

- title (including the name of the public authority, i.e. Lund University, and the word “regulations”)
- information on authorisation
- information on decision date and entry into force
- transitional provisions, if necessary

Decisions on general recommendations must also be written in a specific template.

4.4 Publication

All regulations must be published in the same place in Swedish and English respectively on the University’s web pages.

Regulations must be published as soon as possible and in good time, normally at least four weeks before they enter into force. The publication date must be stated on the website. Previous versions of regulations must also be published in the same place on the website.

University-wide regulations must also be published on Regelverket and Rules and Regulations, see Chapter 5. Regulations that are not university-wide must also be published on the relevant organisational unit's website.

5 Publication of regulatory documents

All regulatory documents must be published on the University's web pages in order to be easily accessible for staff and students.

Regelverket and Rules and Regulations are Lund University's web pages where university-wide regulatory documents must be published. Normally, only current decisions are published on these pages. Decisions that are published on Rules and Regulations are only translations of the Swedish original documents, which means that if there are differences between the Swedish and the English versions, the Swedish version applies.

Regulatory documents that are not university-wide must be published on the relevant organisational unit's website.

Regarding publication of regulations, what is stated in Chapter 4 also applies.

6 Entry into force

These Guidelines enter into force on 19 September 2024.