

**HR Excellence in Research**

# **| Internal Review**

## **Internal Review**

**Case number**

2021SE721930

**Name Organisation under review**

University West

**Organisation's contact details**

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### 1. Organisational Information

Please provide an update of the key figures for your organisation. Figures marked \* are compulsory.

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	301
Of whom are international (i.e. foreign nationality) *	27
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	31
Of whom are women *	160
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	233
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	14
Of whom are stage R1 = in most organisations corresponding with doctoral level *	51
Total number of students (if relevant) *	5577
Total number of staff (including management, administrative, teaching and research staff) *	663
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	66800000
Annual organisational direct government funding (designated for research)	8700000
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	3400000
Annual funding from private, non-government sources, designated for research	5000000

**ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)**

University West (HV) in Trollhättan, Sweden, offers education collaborating with work-life in a modern study environment. HV focuses on the student and learning. Work-integrated learning (WIL) is HV's overall profile and value base for learning, knowledge exchange and knowledge development. HV has the government's special mandate to develop WIL.

Research is conducted within technology, social sciences, health and caring sciences and the humanities. Work-integrated learning constitutes an important, interdisciplinary, field of research. Research concerning production processes in manufacturing industry is of special importance. There is a strong connection between the research conducted at HV and undergraduate education.

## 2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

**Note:** Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

**Strengths and Weaknesses (Initial Phase)**

Swedish legislation covering ethical and professional aspects is generally strong but practical local implementation requires fine tuning of processes and practices. Updated steering and information documents at HV covering ethical and professional aspects must be made more easily available online to staff, additionally in English, and researchers must know where to find such information. This is not always the case at present and needs to be rectified.

***Research freedom***

While research freedom has always been a pillar of Swedish research legislation, much of today's research is externally funded, sometimes by industry. For contractual reasons, this can limit the freedom to conduct research and to publish freely. The Swedish government has presented a new model for quality-based resource allocation to replace the present indicator-based model for allocation of part of the direct university funding. The model is based on the universities themselves defining profile areas, which are then subject to peer review. Profile areas must be of strategic importance to the university and of high research quality.

***Ethical principles***

National ethical legislation regarding ethics in research is very stringent and is under the control of the Swedish Ethical Review Authority (<https://translate.google.com/translate?hl=en&sl=sv&u=https://etikprovningssmyndigheten.se/> (<https://translate.google.com/translate?hl=en&sl=sv&u=https://etikprovningssmyndigheten.se/>)).

Although HV has a Research Ethics Council, information on ethics in research and the processes around ethical permissions needs to be more widely disseminated. Furthermore, the role and responsibilities of the Council need to be extended to provide more practical use for researchers.

***Professional responsibility and Professional Attitude***

The Swedish Higher Education Act and The Administrative Procedure Act place strict demands on Swedish universities for how teaching and research are conducted as well as financial reporting. The Authority is responsible for following up, at regular intervals, how universities live up to standards of education and research while the Swedish National Audit Office oversees financial reporting and compliance.

Better information regarding such matters at HV could well improve the local understanding of the review processes.

***Contractual and legal obligations***

GDPR has been a problematic area for most researchers and further training in GDPR needs to be offered, as does training to better understand intellectual property rights (IPR). Further education on the law of public procurement is also important.

While the managers of externally funded projects may be well aware of the significance of research contracts, junior researchers (R1-R2) are not fully aware of the importance and significance of contract compliance, which needs to be addressed.

### ***Accountability; Good practice in research***

Results from research financed by public funds, both Swedish and international, belong in the public domain. The strong Swedish legislation on the right to access official documents is key in this aspect even though the extent of the legislation is not fully understood by researchers. Open Access publication is normally required in externally funded projects and Open Data is becoming the norm.

Good practice in research is a far-reaching concept and is largely covered by Swedish legislation. However, there are some areas that need improvement.

The theoretical understanding of the importance of secure data storage is relatively high among researchers but is not always followed. The need for a GDPR-compliant, convenient and universally used data storage system is a priority for HV.

### ***Dissemination, exploitation of results; Public engagement***

Dissemination of research results is now often a contractual requirement from research financing bodies, as is the exploitation of results. Dissemination is wide ranging, not just covering publishing in journals but also providing information to the general public. HV has the infrastructure to fulfil these requirements, but improvements can always be made. The effect that dissemination can have on future IPR needs to be more widely understood among researchers.

The concept of public engagement in and about research is well understood among researchers at HV. HV needs to find better ways of allowing time for such activities and awarding merits for involvement.

### ***Non-discrimination***

Non-discrimination is covered by a number of legislations, not least the National Discrimination Act. Gender equality is also strongly rooted in education. While there is some fine-tuning that HV needs to undertake, as shown in the Gap Analysis, this is an area at HV that does not require immediate attention.

### ***Evaluation/appraisal systems***

There are regular evaluations of HV carried out by the Swedish Higher Education Authority. The university is required to follow up any necessary deficits. The university also commissions research evaluations on a regular basis.

As regards evaluation and appraisal systems for individuals, this is not clearly legally regulated and very much left to the individual universities to handle. Annual employee evaluations at HV are one valuable tool in career planning and gaining feedback. Although such evaluations are standardised, and indeed required at the doctoral student level (R1), they are not always as useful at other researcher levels (R2-R4), which is something that needs to be considered. Regular salary discussions are another platform for evaluating an individual's performance.

## **Strengths and Weaknesses (Interim Assessment)**

### **Research freedom**

- According to the Swedish Higher Education Act, higher education institutions must operate under the general principle that academic freedom is promoted and protected. This is particularly important when it comes to research; that research problems may be freely selected, research methodologies may be freely developed, and research results may be freely published. The management of the university highly values academic freedom and believes that it is a fundamental pillar of a democratic society.

### **Ethical principles**

- The role and responsibilities of the University West (HV) Research Ethics Council have been expanded during the current period. Information on research ethics and the processes for ethical approval is now regularly disseminated to ensure it is practically useful for the researchers.

- A new national law on research ethics and ethical review of research involving humans is proposed to come into force in 2026. This law will replace the current Ethical Review Act (2003:460). According to the proposal, research where participants, over the age of 18, have consented to the use of their personal data, or where the data is publicly available and not subject to confidentiality, will no longer require ethical approval from the national Ethical Review Authority. Such research is instead to be handled internally by the research institutions themselves. Research that involves sensitive personal data, where informed consent cannot be obtained, or where confidential information is used, will still require ethical review by the national Ethical Review Authority. HV is preparing to take responsibility for the tasks that are proposed to be managed internally under the new law.

### **Contractual and legal obligations**

- As part of a focus on research data management and the need for data management plans, information and training on GDPR and IPR is now being provided, as needed.

- Training regarding the law of public procurement is also being provided as is information on the importance for junior researchers on contract compliance. Third-party R1 contracts have been revised and implemented.

- The handling of contractual/legal aspect on research results and teaching material still needs to be developed, in order to be added to the checklist for when researchers end their employment.

### **Accountability; Good practice in research**

- As part of a focus on research data management and data management plans mentioned above, information and training on the following items is being provided. The two top items are also covered in the introduction course for new employees.

- The fact that results from research financed by public funds, both Swedish and international, belongs to the public domain.
- The strong Swedish legislation on the right to access to official documents.
- The importance of secure data storage.

- Good practice in research is largely covered by Swedish legislation and is in addition part of the role and responsibilities of the HV Research Ethics Council.

- A secure data storage system is at hand locally, complemented by the development of a national system.

- An HV internal web site gathering information for researchers on research support issues has been established and is being continuously developed.

- An Open Science Policy still needs to be settled.

### **Dissemination, exploitation of results; Public engagement**

- The ability to collaborate with different actors in society is now an assessment criterion for the appointment of teaching staff.

- An analysis regarding a possible update of the working time contract will be conducted. Items such as time for outreach activities should be included in the analysis.

### **Evaluation/appraisal systems**

- The employee appraisals templates need to be further developed, more specifically tailored for the different needs of each R-level.

### **Remarks (max 500 words)**

**Strengths and Weaknesses (Initial Phase)*****Recruitment; Recruitment (Code); Selection (Code)***

Recruitment and selection are governed by national legislation and thereby tightly controlled in many respects. Furthermore, internal steering documents describe how the processes should be carried out; unions follow the processes to ensure that they are implemented as required. Labour law in Sweden is strong and strict. In particular, doctoral students at HV are given employment contracts and are not funded by stipends. HV has steering documents that cover recruitment and selection. However, there are a number of improvements that HV needs to make in terms providing English language steering documents and explanations of Swedish legislation. HV needs to be better at making official documented decisions. There also need to be clearer practical guidelines for gender mainstreaming. Some of the advertising processes are not as transparent as they should be, with the occasional use of customised adverts (aimed at a specific person). Additionally, Euraxess is not universally used for advertising open positions.

Similarly, with selection, in spite of national legislation, some of the local processes are not sufficiently transparent and it is not obvious to international applicants how the Swedish process works and why it takes a long time. Ways of streamlining the process need to be investigated.

***Transparency (Code); Judging merit (Code); Variations in the chronological order of CVs (Code); Recognition of mobility experience (Code); Recognition of qualifications (Code); Seniority (Code)***

The Varbi web-based recruitment system used by HV allows easy feedback to applicants and Swedish legislation allows access to recruitment decisions. As regards Transparency, the Gap Analysis indicated that there are some areas for improvement. Variations in CV structure are not an issue and time gaps in CVs are acceptable as long as there is an acceptable explanation.

Mobility is of course a positive feature of job applicants and is taken positively into account.

The Appointments Procedure at HV gives clear criteria on the assessments of qualifications. Seniority is governed by national legislation against age discrimination and the normal retirement age is 68, although this is set to rise soon. HV has guidelines for Professor Emeritus/Emerita status after retirement.

***Postdoctoral appointments (Code)***

National legislation in the form of the Employment Protection Act and a Collective Agreement for Post-doc positions govern the terms for post-docs. The latter applies primarily to post-docs carrying out research and who are only allowed to teach a maximum of 20 per cent of their time. Post-docs at HV are usually required to teach more.

Post-doc appointments are also regulated in the HV Appointments Procedure.

However, post-docs at HV often regard their status and future to be unclear and their teaching loads to be too high. These need to be addressed.

### **Strengths and Weaknesses (Interim Assessment)**

#### **Recruitment & Selection**

- With the HV Appointments procedure (OTM-R policy) being recently updated most recruitment processes are now further developed and clarified. The recruitment process for PhD students still needs to be improved.
- Work is ongoing to provide knowledge and ensure predictability and transparency regarding the university's regulations, employment forms, and available positions. This is done within the framework of the Employment committee and elsewhere.
- Also, according to HV's guidelines, policy documents should be reviewed every other year. Within the framework of this review, evaluations of how well the items of the OTM-R policy are fulfilled, will be conducted.
- Overall, there is an ongoing effort at HV to make sure that any important document is available online, in Swedish and in English, and that this is communicated to researchers. Information about and the implementation of new guidelines are for instance carried out through meetings with heads of department, information in management groups, and information on HV's website. To reach out with this kind of information is indeed a challenge but one that HV works with continuously.
- Steering documents related to recruitment and selection are being provided online, both in Swedish and in English.
- Recruitment and selection steering documents are reviewed to ensure that equal gender distribution is integrated. If an external recruitment consultant is engaged, it is required that the consultant has knowledge of equal opportunities and gender equality dimensions related to recruitment.
- Feedback processes to job candidates have been improved and implemented.
- Informative links are included in all international recruitment advertisements
- A list of all standard places to advertise job recruitments is established. Euraxess is used when relevant.
- The current advertisement templates still need to be improved – for use, both in national and international contexts.
- Practices and methods for international recruitment still needs to be further developed.
- Training processes still needs to be improved for personnel involved in recruitment processes, primarily managers but also others.

#### **Postdoctoral appointments**

- Clarifications have been made in the postdoc job advertisements, regarding the conditions for a post-doctoral employment. Also, facts and conditions regarding future career paths at HV are included.

**Remarks (max 500 words)**

**Strengths and Weaknesses (Initial Phase)**

Working conditions and social security are very strictly governed by Swedish legislation, including mandatory holiday allowances, parental leave, sick leave, and pension payments by employers. HV follows these regulations, often offering even more generous conditions. Doctoral students are employed on work contracts and are not funded by stipends.

***Recognition of the profession***

Researchers in Sweden inspire a high degree of public confidence and are frequently consulted and quoted by national and local media, as was very noticeable during the coronavirus pandemic. HV actively promotes and facilitates the role of researchers in the local community.

***Research environment; Working conditions***

Working conditions are strictly governed in Sweden. During the Gap Analysis consultations, HV researchers regarded working conditions as good and regular assessments are carried out. The Gap Analysis did not reveal any serious problems with the research environment.

***Stability and permanence of employment***

There is significant Swedish legislation covering temporary and permanent employment, which HV follows. HV also has its own regulations, but these need to be better clarified for R2 researchers.

***Funding and salaries***

Much of the research funding at HV comes from external sources. Salaries are still governed by national collective agreements and internal guidelines, as well as by individual negotiations during the employment process. These are usually carried out at the beginning of the employment and then on an annual basis.

***Gender balance***

Gender balance is governed by national legislation. HV generally has an acceptable gender balance except at R4 where only 33 per cent of professors are female. This is a nationally addressed problem that is very much subject-dependent but is slowly improving with time and HV will strive to make its own improvements. Internally, HV has wide-ranging gender mainstreaming activities.

### ***Career development; Access to career advice; Value of mobility***

Career development is not nationally legislated. Many smaller universities do not have the capacity to keep their doctoral students after dissertation. HV does not have any particularly clear processes for career development, which are addressed in the Action Plan.

Additional complementary training courses and mentorship programmes at HV will enable R1 and R2 researchers to develop a competitive edge in their research careers.

Career advice at HV is not organised and tends to be decentralised and ad hoc, depending on the researcher's and supervisor's contact networks. Small universities like HV cannot afford a centralised career development unit but by collaborating with other universities and national facilities, it is possible to provide more organised career advice service. This is addressed in the action plan.

Mobility is positive, but lack of mobility must take into account the individual's prerequisites. HV will improve information on mobility, including interdisciplinary and intersectoral, as part of career advice.

### ***Intellectual Property Rights***

In Sweden, individual researchers normally own the rights to their research. However, in industry-funded research there may be restrictions. Increasingly, research results are expected to be utilised and it is important that researchers understand IPR. While there is some national IPR legislation, HV needs its own IPR policy and must offer more structured IPR information to researchers.

### ***Co-authorship***

There is no national co-authorship legislation but rather some central guidelines from the Association of Swedish Higher Education Institutions. International guidelines (such as the Vancouver guidelines) and initiatives are often followed. Furthermore, many journals now have requirements for co-authorship. HV needs to clarify its policy, taking into account the different publication praxes in different subject areas.

### ***Teaching***

Doctoral students (R1) in Sweden normally teach a maximum of 20 per cent of their time. R2 researchers at HV usually have less than 20 per cent teaching although this can vary in practice. For R3-R4 researchers, the amount of teaching is variable but is very seldom less than 20 per cent. It is unusual, particularly in small universities, that a researcher can devote all their time to research. It is important,

particularly for R2 researchers, that teaching is not too burdensome. Furthermore, incoming international researchers who cannot speak Swedish can only teach courses held in English. HV needs to have better regulation of the actual amount of teaching that researchers are expected to carry out. More frequent courses in pedagogics are also necessary.

### ***Complaints/appeals***

There are a number of national legislations covering complaints' and appeals' processes. It became apparent during the Gap Analysis that these processes are not well-known at HV. This needs to be investigated and improved, not least in the form of information available to researchers.

### ***Participation in decision-making bodies***

All researchers are free to become involved in decision-making bodies at HV, at any level, although this can be a problem for non-Swedish speakers. While not a high priority, HV should look at the possibility of a more general involvement of international researchers in decision-making bodies.

A number of essential documents regarding working conditions must be made easily available online, additionally in English.

## **Strengths and Weaknesses (Interim Assessment)**

### **Career development; Access to career advice; Value of mobility**

- Career paths at HV still needs to better communicated.
- General and individual career support, incl a possible mentorship programme, still needs to be further developed as well as communicated.
- Co-authorship guidelines (per research area or as needed) still need to be further developed and communicated.
- The working time allocation system and how researchers are affected still needs to be better communicated. An analysis regarding a possible update of the working time contract will also be conducted.

### **Gender balance**

- A broad effort has been made in the area of gender equality. The new employment agreement (OTM-R policy) with accompanying guidelines controls the work with equal conditions and equality in relation to recruitment and promotion. Educational initiatives on equality have been carried out for all staff categories at the university; special efforts have been made for, among others, managers and

PhD supervisors.

- Gender balance in informal structures have been analysed with the help of surveys and questionnaires. It was found that there is a risk of imbalance regarding gender equality. Therefore, the university is working on knowledge-enhancing initiatives, such as training and workshops.

- The work on gender equality is complex and can never be completed; it requires long-term and ongoing efforts.

**Complaints/appeals**

- Communication about the Complaints/appeals systems at HV have been improved.

**Remarks (max 500 words)**



### Strengths and Weaknesses (Initial Phase)

Even though training and development at HV are generally regarded as good, improvements must be continuously implemented, not least to follow any new legislation and internal requirements.

It is essential that updated steering and information documents covering all aspects of training and development are easily available online, additionally in English, and that researchers know where to find such information. This is not always the case at present and needs to be rectified, perhaps in the form of a research portal.

#### ***Relation with supervisors; Supervision and managerial duties; Supervision***

The Swedish Higher Education Ordinance stipulates the number and role of supervisors for R1 researchers. However, the Gap Analysis revealed that the supervisory burden for R3 and R4 researchers in supervising R1 researchers is often greater than the time that is normally allocated for such tasks. This is suboptimal for both the supervisor and the supervisee. Steps need to be taken to ensure that the supervisory tasks are in proportion to the time available and that individual supervisors are not overloaded. Improvements also need to include updated and improved training of supervisors.

#### ***Continuing Professional Development; Access to research training and continuous development***

Such training and development cannot be separated from career development, which has been covered above.

### Strengths and Weaknesses (Interim Assessment)

#### **Training & development**

- Access to continuous professional development for researchers still needs to be developed and communicated.
- An internal web site for research support has been established. Information about career path and career support will be published here, as will information on professional development courses and workshops.
- Overall, there is an ongoing effort at HV to make sure that any important document is available online, in Swedish and in English, and that this is communicated to the researchers. Information about of new guidelines are for instance carried out through meetings with heads of department, information in management groups, and information on HV's website. To reach out with this kind of information is indeed a challenge but one that HV works with continuously.

- The working time allocation system and how researchers are affected still needs to be better communicated. An analysis regarding a possible update of the working time contract will be conducted. Items such as time for supervision should be included in the analysis.

**Remarks (max 500 words)**

**Have any of the priorities for the short- and medium term changed? (max 500 words)**

For the activities in the action plan, there has been a discussion about what should be prioritized during this upcoming implementation phase, as resources are limited. This discussion is reflected in the resulting timing of the action plan. On a higher level there are no changes - the remaining weaknesses identified at University West at the initial phase are all of high priority.

**Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? (max 500 words)**

University West (as well as the national sector as a whole), has experienced a strained financial situation during this first implementation phase. Large savings have been needed in order to get the numbers in balance, resulting in staff laid off.

This transition process has affected the HR Award plan, both because of the loss of some key persons and because of the necessary prioritization of administrative resources as a whole to the former process. Also, there has been additional staff turnover in the coordinating team, not linked to the transition process.

The implementation tempo has hence suffered, as has the overseeing implementation and coordination process and organisation, resulting in several activities now being extended. They are all added as new Actions in the Action plan of the upcoming implementation phase.

The assignment of a new Vice-chancellor in August 2023 and a new Pro vice-chancellor in Dec 2023 have also to some extent affected the implementation tempo. In addition, the management style of the new leadership is somewhat changed towards more trust-based governance. This is reflected in an Action plan with a less detailed level, for a greater scope for action, and with activities and targets being reformulated to aim for effects and added value rather than limited and specific results.

Maybe out of the scope for this section but we would like to take the opportunity to comment on the researcher and research funding figures under Organisational information. We have changed means for calculating these compared to the initial phase. These new ways are compliant with our internal staff and accounting systems, needing no extra individual handling, hence providing numbers that will be comparable across upcoming implementation periods.

**Are any strategic decisions under way that may influence the action plan? (max 500 words)**

No, not at this point.

### 3. Actions

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also add new objectives.

**Note:** Choose one or more of the principles automatically retrieved from the GAP Analysis with their ratings.

**Proposed ACTIONS**

**Action 1**

Researchers need to be better informed (updated) about ethics in research and need help with ethics applications. The Research Ethics Committee (REC) needs an extended mandate. Activity 1.1 a. Investigate the most effective ways to disseminate information on ethics to researchers, e.g. during introductory training, a “research day” etc. b. Implement, evaluate and improve. Activity 1.2 a. Investigate what is necessary for the Research Ethics Committee (REC) to receive an extended mandate covering help/reviewing of research ethics applications and external funding applications. b. Approval by the university management. c. Implement and evaluate.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
( +/- ) 2. Ethical principles	Activity 1.1 - Q4/2023 Activity 1.2 - Q2/2025	Responsible unit (RU): Vice-Chancellor's office (AOL) Other Units involved (UI): Research and Education board (FUN) Complete Academic Environments (KAMs) Committee for investigating Suspected Deviations from Good Research Practice (Npof) Grants and Innovation Office (GIO)	Targets: 1.1 Methods of dissemination of ethical information determined and implemented. 1.2 Depending in the result of the investigations, an REC that is also able to comment and evaluate ethics applications and external funding applications. Indicators: 1.1a List of methods of disseminating ethics information to researchers. 1.1b Agreement on

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			<p>which methods will be used.</p> <p>1.1c First implementation carried out.</p> <p>1.1d Evaluation of first implementation carried out.</p> <p>1.1e Any necessary changes made.</p> <p>1.2a Investigation carried out, list of what the REC is able to do/not do. Report to management.</p> <p>1.2b Decision by management on next step.</p> <p>1.2c Depending on result of 1.2b, changes implemented.</p> <p>New</p>

**Proposed ACTIONS**

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<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
			organisation evaluated.

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<b>Current Status</b>	<b>Remarks</b>
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COMPLETED	
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## Proposed ACTIONS

### Action 2

The Gap Analysis indicated that there is a need for further training and better information regarding GDPR and IPR issues, and awareness of the terms of external funding contracts. Oversee contracts regarding third-party R1 researchers (researchers working at HV but who are employed by other organisations) Activity 2.1 a. Investigate the most effective ways to regularly disseminate existing information on GDPR and IPR matters to researchers. b. Agreement on which methods will be used. c. Implement, evaluate and improve, particularly as regards GDPR. Activity 2.2 a. Investigate the most effective ways to disseminate information on external funding contracts. Particular emphasis on R1 researchers and supervisors. b. All incoming researchers will be advised about information programmes. c. Investigate any need for subcontracts with researchers. d. Implement, evaluate and improve. Activity 2.3 a. Review contracts covering third-party R1 researchers. b. Investigate how existing contracts can be improved where necessary. Assess how new contracts can be improved in future. c. Implement improved/new contracts, evaluate and follow up. Activity 2.4 a. Development of Open Science policy covering Open Access and Handling of Research Data. b. Approval of policy. c. Development of training regarding policy. d. Implement training, evaluate and improve. Activity 2.5 a. Develop checklist for when researchers end their employments regarding contractual/legal aspects and Open Data. b. Implement, inform and evaluate.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
( +/- ) 5. Contractual and legal obligations	Activity 2.1 - Q4/2024 Activity 2.2 - Q4/2025 Activity 2.3 - Q2/2024 Activity 2.4 - Q3/2025 Activity 2.5 - Q1/2024	Responsible unit (RU): Vice-Chancellor's office (AOL) Other Units involved (UI): Grants and Innovation office (GIO) Research and Education Board (FUN) Library and academic support (SPIBS) Data Access Unit (DAU) Information Security Group (ISG)	Targets: 2.1 Methods of dissemination of GDPR and IPR information determined and implemented. 2.2 Methods of dissemination of importance of external funding contracts determined and implemented. Any necessary subcontracts implemented. 2.3 Any necessary revisions in third-party R1 contracts implemented. Follow-up system in place. 2.4 Open Science policy published on HV website. 2.5 Checklist available for researchers leaving their employment at HV. Indicators: 2.1a List of methods of

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			<p>disseminating GDPR and IPR information to researchers. 2.1b Agreement on which methods will be used. 2.1c Implementation of 2.3.3 carried out. Aim to have reached 80% of researchers by end of 2024. 2.2a List of methods of disseminating information on external contracts to researchers. 2.2b All researchers informed by end of 2024. 2.2c Legal assessment of necessity of subcontracts. Implementation of subcontracts carried out (if necessary). 2.3a Report on contract review available internally. 2.3b List of improvements to be</p>

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			<p>made to existing/new contracts. 2.3c            Addendum to existing contracts drawn up.            New contract template available.            Follow up after 1-2 years. 2.4a Open Science policy drawn up. 2.4b Open Science policy approved published on HV website. 2.4c Information activities developed. 2.4d Training programme to have reached 80% of researchers by end of 2025. 2.5a Checklist for leaving researchers drawn up. 2.5b Checklist approved published on HV website. Information activities aimed at managers/supervisors regarding checklist carried out. By end of</p>

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			2024, all leaving researchers should be completing checklists.
Current Status	Remarks		
COMPLETED	2.1 - 2.3 are completed. 2.4 and 2.5 are extended due to general reasons, as described under "circumstances under which your organization operates" above. They are added as separate, new Actions below (18 & 19). The core of the activities are intact but, as described under "circumstances under which your organization operates" above, the general set-up of Actions is somewhat changed with a less detailed level for a greater scope for action and with activities and targets being reformulated to aim for effects and added value rather than limited and specific results.		

**Proposed ACTIONS**

**Action 3**

The current praxis for storing research data has been shown to be often haphazard and non-conforming. Creation of a Research Portal for easier access for researchers to all information regarding research. Development of a university-wide Research Strategy needs to be investigated. See also Action 2, Activity 2.4. Activity 3.1 a. A secure, easily accessible data storage facility needs to be made available to HV staff (including researchers). The facility must comply with all necessary legislation and Open Data standards. b. Commissioning of system. c. Investigate the best way to inform staff of how data must be stored. d. Implement and evaluate compliance after 1-2 years. Improve as necessary. Activity 3.2 a. Benchmark against Research Portals at other universities. b. Investigate the development and structure of a Research Portal. c. Obtain wide-ranging internal feedback. d. Implement, inform researchers, evaluate and improve. Activity 3.3 a. Investigate the development of an overall Research Strategy at HV based on those already developed by the individual KAMs. b. If required, develop such a strategy. c. Obtain internal consensus. d. Implement, inform and evaluate.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
( +/- ) 7. Good practice in research	Activity 3.1 - Q4/2026 Activity 3.2 - Q4/2025 Activity 3.3 – Q4/2024	RU: AOL UI: DAU ISG IT department (IT) GIO SPIB	Targets: 3.1 Secure data storage system, fulfilling all legal requirements implemented and used at HV. 3.2 Research portal on HV website – “one-stop shop” for all research. 3.3 Overall Research Strategy published on the HV website (if agreed). Indicators: 3.1a Identification of suitable data storage system. 3.1b

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			System available for use. 3.1c Methods assessed for best informing staff about system. 3.1d Staff information programme rolled out. 3.1e Compliance assessed. Target: 90% compliance by end of 2026. 3.2a Benchmark data with respect to other university research portals (at least three) available as report. 3.2b Suggested structure and

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			content plan for HV research portal. 3.2c Structure and content agreed. 3.2d Research portal developed and commissioned. 3.2e Feedback obtained after 1 year. 3.3a Decision made as to whether HV should have an overall Research Strategy. 3.3b If answer to 3.3a is positive, draft Research Strategy available. 3.3c Internal consensus on content of

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			Research Strategy obtained. Approval of HV management obtained. 3.3d Research Strategy published on HV website and staff information programme rolled out.
Current Status	Remarks		
COMPLETED	Regarding 3.3, the outcome was to NOT develop a university-wide research strategy. The research strategies of University West's two areas of strength are instead very well fulfilling the intended purpose, presently.		

**Proposed ACTIONS**

**Action 4**

The personal evaluation systems are unclear at various R-levels. There needs to be clarity in the evaluations that are to be carried out for each R-level and when, and what they mean. Any new systems must be developed to cover all personnel categories and must be approved as regards gender equality. Activity 4.1 a. Modification of the template used for annual staff appraisals. Investigate what additional points are required/desired. Input will be required from all R-levels as well as management, gender mainstreaming and unions. b. Modify, test and improve the template. c. Implement new template. d. Inform those who carry out staff appraisals that there is a new template. e. Assess compliance of use of new template after 1 year.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
( +/- ) 11. Evaluation/ appraisal systems	Activity 4.1 - Q2/2026	RU: Human Resources department (HR) UI: HLG Gender mainstreaming Unions	Targets: 4.1 New staff appraisal templates implemented and in use. Indicators: 4.1a Report on the structure and content of new staff appraisal templates. 4.1b Templates tested, improved and approved. 4.1c New templates available for use, published on HV website. 4.1d Staff informed

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			about new templates. 4.1e Report on compliance of use of new template. Expected compliance 90% by end of 2026.

Current Status	Remarks
COMPLETED	Action 4 is extended as well as adjusted. In addition to the general reasons described above, the internal organization has changed with the University Management Team (HLG) now being responsible for gender issues. The unit "Gender mainstreaming" is thus removed. It is added as a new Action below (20).

## Proposed ACTIONS

### Action 5

OTM-R action points 6, 7, 10, 13, 14 are also included in this Action. The gap analysis revealed that the current advertisement templates needed to be reviewed, and recruitment processes need to be reviewed/updated. In addition, the HR department needs to work on its internal visibility and inform about its activities. Activities identified in the OTM-R analysis show that: - Insufficient use is made of Euraxess when advertising positions and, similarly, a list of where to advertise positions should be drawn up. - There are no policies in place at HV to attract researchers from abroad. Activity 5.1 a. Review the current advertisement templates getting input from recently recruited staff. Review clarity of the text, the information given in the advert, the use of information links and the degree of dissemination of the adverts. b. Update and test new templates. c. Implement and evaluate. Activity 5.2 a. Include informative links in all advertisements aimed at international personnel (e.g. <https://www.sverigesungaakademi.se/en-GB/beginnersguide.html>). Activity 5.3 a. Review recruitment processes for all types of staff and discuss with all groups involved with recruitment. Look for methods to streamline and speed up the processes and develop clearer working methods. b. Update processes. c. Testing, approval, implementation and evaluation of new processes. Activity 5.4 a. HR needs to increase its visibility within the university. Relevant activities will be developed and implemented. b. Review activities after 1-2 years to assess improvements. Activity 5.5 a. Draw up a list of where to advertise recruitments as a means of attracting

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Activity 5.1 - Q4/2024 Activity 5.2 - Q4/2023	RU: HR	Targets: 5.1 Updated and improved
(+/-) 14. Selection (Code)	Activity 5.3 - Q2/2025 Activity 5.4 - Q2/2024		5.2 advertisement templates. 5.2 Inclusion of informative
(+/-) 15. Transparency (Code)	Activity 5.5 - Q4/2023 Activity 5.6 - Q2/2026		links in advertisements aimed at international personnel. 5.3 Introduction of improved/new recruitment methods to streamline working processes. 5.4 Increased visibility of HR department among HV personnel. 5.5 Greater national and international reach when

**Proposed ACTIONS**

**Action 5**

the best candidates. b. Ensure that Euraxess is more widely used when advertising recruitments. Activity 5.6 a. Draw up policy guidelines of how to attract researchers from abroad.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			advertising recruitments. An official policy for attracting researchers from abroad. 5.6 Policy document on how to attract researchers from abroad. Indicators: 5.1a Completed review of advertisement templates with list of improvements. 5.1b Templates updated and tested on test group. 5.1c Templates used in actual recruitments. Evaluated by feedback after one year. 5.2a

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			Informative links included in all international recruitment advertisements from 2023. 5.3a All recruitment processes reviewed. List of improvements made. 5.3b Updated processes suggested. 5.3c Testing, approval and implementation of improved processes complete. 5.4a List of activities to improve HR's visibility made, approved and implemented.

## Proposed ACTIONS

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GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			5.4b Effectiveness of activities has been assessed. Results have been discussed and further activities implemented. 5.5a List of standard places to advertise job recruitments. 5.5b Euraxess used for all researcher recruitments. 5.6a Policy document drawn up about how to attract researchers from abroad.

## Proposed ACTIONS

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Current Status	Remarks
COMPLETED	<p>5.1 is extended and added as a separate, new Action below (21), due to general reasons described above. 5.2 is completed. 5.3 is partly completed. The remaining activity is added as a separate, new Action below (22), due to general reasons described above. 5.4 is removed as it has been settled that there is no intrinsic value in the HR department being visible. Instead, the HR department aims to make sure that researchers at University West are well acquainted with HR rules, regulations and processes, according to their needs. 5.5 is completed. 5.6 is extended as well as adjusted, as a result of internal discussions. In addition to the general reasons described above, the main point is that, in order to promote international recruitment, improving working practices and methods should contribute better than developing policy guidelines. It is added as a separate, new Action below (23).</p>

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## Proposed ACTIONS

### Action 6

OTM-R action point 3 is also included in this Action. To increase competence levels among managers and other personnel involved with recruitment, the training programme and practical tools for managers and members of selection committees need to be reviewed/improved. Activity 6.1 a. Review the existing training for managers and other personnel involved with recruitment and consider the possibility of starting a new/different training programme. b. If applicable, implement and evaluate. Activity 6.2 a. Review the existing training for members of committees involved with recruitment. Consider the possibility of starting a new/different training programme. b. If applicable, implement and evaluate.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Activity 6.1 – Q2/2025 Activity 6.2 - Q4/2025	RU: HR	Targets: 6.1 Improved training programme for managers and other personnel involved with recruitment.
(+/-) 14. Selection (Code)			6.2 New/improved training programme for members of recruitment committees.
(+/-) 15. Transparency (Code)			Indicators: 6.1a Review of training of managers and other personnel carried out. Suggestions for improvements in the training programme

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			for managers. 6.1b New programme implemented. 60% of managers training by completion date. 6.2a Review of training of recruitment committee members carried out. Development of new/updated training programme. 6.2b New programme implemented. All recruitment committees trained by end of 2025.

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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COMPLETED

Action 6 is extended and added as a new Action below (24), due to general reasons as described above.

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**Proposed ACTIONS**

**Action 7**

OTM-R action point 21 is also included in this Action. The gap analysis (Transparency) revealed some shortcomings in the feedback to job candidates. Activity 7.1 a. Review the feedback given to candidates. Review the feedback process and analyse the content and frequency of feedback given. b. Suggest improvements in feedback process and the practicalities of such processes, using standardised templates where possible. c. Implement and evaluate new feedback processes.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
( +/- ) 13. Recruitment (Code)	Activity 7.1 - Q4/2024	RU: HR	Targets: 7.1 To provide what has been determined as a good level of feedback to all candidates. Indicators: 7.1a List of content of desirable feedback following wide-ranging discussions. 7.1b List of improvements regarding how to give feedback in the most rational way. 7.1c New feedback process implemented
( +/- ) 14. Selection (Code)			
( +/- ) 15. Transparency (Code)			

**Proposed ACTIONS**

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<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
			for all recruitments. All applicants will receive feedback.
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED			

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**Proposed ACTIONS**

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**Action 8**

Action 8. Clarification in advertisements regarding the conditions for a post-doctoral employment. Clarification of what a post-doctoral appointment is at HV with respect to affiliated/combo positions and national/international researchers. Better information regarding continued careers needs to be included in advertisements. Activity 8.1 a. Review advertisements for post-doctoral positions, especially as regards conditions for employment, teaching and career opportunities. Obtain feedback from recently employed post-docs. b. Adjust post-doctoral employment contract as necessary according to above. c. Investigate affiliations and combination employments at post-doctoral level. d. Make any necessary changes to advertisement templates to improve information. e. Ensure that information is available on HV website, and is also available in English. f. Implement and evaluate.

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
(+/-) 21. Postdoctoral appointments (Code)	Activity 8.1 – Q4/2025	RU: HR	Targets: 8.1 Clarity regarding post-doctoral and affiliated/combo positions at HV, especially regarding duration, combination employments and careers. Indicators: 8.1a Advertisements for post-docs reviewed. Feedback obtained from previous post-doctoral recruitments and list of improvements drawn up. 8.1b Post-doc contract adjusted. 8.1c Review of various post-doctoral employments including affiliation and combination employment. 8.1d Changes made to advertisement templates. 8.1e All

**Proposed ACTIONS**

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<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
			information available on HV website. 8.1f Changes have been implemented in practice for all job advertisements by end of 2025.
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED			

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## Proposed ACTIONS

### Action 9

OTM-R action point 18 is also included in this Action. Purposeful and systematic work with equal opportunities and gender mainstreaming is a prerequisite for the university's ability to attract, recruit, develop and retain qualified competence. However, gender balance work extends beyond just percentages and includes changing of cultural attitudes and understanding the bases of gender bias. It is these processes that are essential to effective gender mainstreaming activities. Some structures within the university are still very gender segregated with women and men working in different academic fields and positions (also in the HV Gender Mainstreaming plan (HV 2022/520)). Furthermore, the Swedish Government has assigned HV with a recruitment goal for female professors of 48 per cent (from a current level of 33 per cent) by the end of 2023. There is a need for training programmes on gender equality and anti-discrimination, particularly as part of manager training and for recruitment/selection committees. This will involve other functions and roles such as academic leaders, chairpersons and members of academic committees, staff, doctoral students and their supervisors. Gender balance in selection and evaluation committees needs to be achieved. Activity 9.1 a. Review equal opportunity activities at recruitment and at the subsequent career stages. Assess any changes that need to be made to processes and documentation. b. Implement changes. Linked with Action 6. Activity 9.2 a. Establish routines for continuous introduction to, and competence development in, gender equality for all staff categories. b. Implement, inform and evaluate. Activity 9.3 a. Assess

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 27. Gender balance	Activity 9.1 - Q4/2023 Activity 9.2 - Q2/2024 Activity 9.3 - Q2/2024 Activity 9.4 - Q3/2025	RU: AOL UI: HR	Targets: 9.1 Appointments Procedure upgraded to include equality and diversity guidelines at recruitment and subsequent career stages. 9.2 Development of (inclusion in existing) training programmes covering gender equality. 9.3 Selection and evaluation committees should have a suitable gender balance. This

**Proposed ACTIONS**

**Action 9**

gender balance in previous selection and evaluation committees. Suggest changes in routines and processes.  
 b. Ensure that external recruitment consultants and external experts are informed of HV's gender equality requirements. Determine the best way to achieve this. c. Implement, inform and evaluate. Activity 9.4 a. Analyse gender balance in informal structures at HV. If there is an imbalance, suggest methods for introducing changes. b. Implement, inform and evaluate.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			requires defining what a "suitable gender balance" is. 9.4 Informal structures at HV should also have a gender balance. Indicators: 9.1a Current equal opportunities activities assessed and list of changes to make is available. 9.1b Changes implemented in processes and documents. 9.2a Routines for gender equality

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			training established. 9.2b Training routines implemented. By end of 2025, 40% of staff will have been trained at least once. 9.3a Gender balance in previous selection and evaluation committees assessed. Suggestions for changes and routines and processes made. 9.3b Methods for ensuring gender equality competence in external

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			recruitment consultants and external experts have been determined. 9.3c Methods have been implemented. Checklists have been drawn up. 9.4a Analysis of gender balance in informal structures documented. List of changes made. 9.4b Changes implemented and information programme rolled out. Evaluation

**Proposed ACTIONS**

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<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
			made during 2026.

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<b>Current Status</b>	<b>Remarks</b>
COMPLETED	

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## Proposed ACTIONS

### Action 10

The gap analysis showed that career planning advice at HV seems to work in theory but not in practice and there are different views that are clearly R-level related. There need to be central career development guidelines that are implemented at a local level. As regards mentoring, there need to be clear guidelines regarding what mentors are available and what is expected of a mentor. Activity 10.1 Improve information on career paths and available support for career guidance (collect together information on one site and make it easily accessible to all employees). a. Identify and collect information on career pathways. b. Publish on web with link from Research Portal (Activity 3.2). c. Inform staff, evaluate, improve. Activity 10.2 a. Benchmark mentorship programmes with those at other Swedish universities (e.g. <https://www.oru.se/english/collaboration/alumni-and-friends/offer-support/be-a-volunteer/mentor-match/>). b. Investigate the involvement of HV alumni in mentorship programmes. c. Investigate the involvement of local persons (industry, healthcare etc.) in mentorship programmes. d. Investigate role of KAMs in mentoring. e. Suggest mentorship programme for HV. f. Internal discussion, funding possibilities, internal approval. g. Produce guidelines for being a mentor. h. Implement programme, inform researchers, evaluate. Activity 10.3 a. Benchmark career advice services with other universities. What can be learned? How can we collaborate? b. Develop career advice services at HV. c. Obtain internal approval. d. Implement and evaluate. Activity 10.4 a. Investigate setting up a local branch of National Junior Faculty of Sweden

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 28. Career development	Activity 10.1 - Q4/2024 Activity 10.2 - Q4/2026	RU: Pro-Vice-Chancellor UI: HLG	Targets: 10.1 Career pathways and information collected together on new webpage.
(-) 30. Access to career advice	Activity 10.3 - Q2/2026 Activity 10.4 - Q3/2025 Activity 10.5 - Q3/2025	Heads of Departments Heads of KAMs HR GIO	10.2 Updated and functional mentorship programme available to all at HV. 10.3 Career advisory services available, with central coordinator. Collaboration with external parties. 10.4 Answer to question as to whether HV should work

**Proposed ACTIONS**

**Action 10**

together with other local universities  
 (<https://nationaljf.se/>). b. Decision made Activity 10.5 a.  
 Contact Young Academy of Sweden  
 (<https://www.sverigesungaakademi.se/en-GB/1.html>)  
 regarding collaboration.

**GAP Principle(s)**

**Timing (at least  
 by year's  
 quarter/semester)**

**Responsible  
 Unit**

**Indicator(s) /  
 Target(s)**

with National Junior Faculty of Sweden.  
 10.5 Answer to question as to whether HV should collaborate with Young Academy of Sweden.  
 Indicators:  
 10.1a List of career pathways at HV. 10.1b Career pathways published on HV's web. 10.1c Staff informed. Degree of information dissemination assessed at end of 2024.  
 10.2a Document

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			describing results of mentorship benchmarking of other Swedish universities (at least three). 10.2b Involvement of HV alumni as mentors assessed. 10.2c Involvement of local persons as mentors assessed. 10.2d Role of KAMs in mentoring assessed. 10.2e Draft university-wide mentorship programme available.

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			10.2f Mentorship programme approved and funded where necessary.
			10.2g Document available stating guidelines for being a mentor. 10.2h Mentorship programme and information campaign launched.
			10.3a Document describing results of career service benchmarking of other Swedish universities (at least

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			three). 10.3b Document describing suggested career services activities at HV. 10.3c Career advice services approved internally. 10.3d Career advice services at HV launched. 10.4a Results of investigation about setting up a local branch of the National Junior Faculty of Sweden. 10.4b Decision made as to whether to set

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			up local branch. 10.5a Young Academy of Sweden contacted and collaboration discussed. Decision on collaboration.

Current Status	Remarks
COMPLETED	10.1 and 10.2 are extended as well as adjusted, due to the general reasons described above. As a result of internal discussions, they are also divided into four separate new Actions, added below (25-28). The main reason is that formal career paths, general career support and individual career support need their own separate attention. 10.3-10.5 will not be extended as Actions of their own but included as possibilities to investigate, in Action 26.

**Proposed ACTIONS**

**Action 11**

The gap analysis showed the need for better guidelines regarding co-authorship, and better communication of such. Activity 11.1 a. Determine in detail the current co-authorship practices at a department and/or research group level. Amalgamate results. b. Discuss with other small universities regarding how they have solved this situation. c. Compare with Vancouver Convention guidelines. d. Suggest guidelines for each department as a result of these analyses. e. Discuss guidelines with different R-level groups from each department. Discuss how guidelines can be implemented, particularly to research group leaders and supervisors (e.g. during research ethics training). f. Obtain internal approval. g. Implement guidelines, inform researchers, improve information on HV’s web, evaluate.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
( +/- ) 32. Co-authorship	Activity 11.1 - Q2/2025	RU: FUN UI: SBIP Heads of KAMs	Targets: 11.1 New co-authorship guidelines at HV. Indicators: 11.1a Current co-authorship practices at HV described. 11.1b Review of how other universities (at least three) handle co-authorship questions. 11.1c Comparision of current praxis at HV with Vancouver Convention. 11.1d HV guidelines drawn up. 11.1e Internal discussion of suggested new

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			guidelines and their implementation completed. 11.1f Internal approval obtained. 11.1g Implementation of new guidelines launched.
Current Status	Remarks		
COMPLETED	Action 11 is extended and added as a new Action below (29), due to general reasons as described above.		

**Proposed ACTIONS**

**Action 12**

In the Gap Analysis, it was apparent for some R2 and R3 researchers that there is such a (perceived) teaching load that there is little time for research. Furthermore, teaching and/or personal development time is/are sometimes used for co-financing in externally financed projects. Activity 12.1 a. Is there a short-term pandemic bias at the time of the analysis since some people needed more time to prepare for on-line teaching than others. The gap analysis question needs to be repeated in a year or so to find out whether the teaching overload is real. Activity 12.2 a. Improve internal information regarding teaching percentage regulations. b. Investigate the use of using personal development time for co-funding of external projects. c. Suggest solutions if necessary. d. Present solutions to university management for approval. e. Implement any decisions and evaluate.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
( +/-) 33. Teaching	Activity 12.1 - Q1/2024 Activity 12.2 - Q4/2024	RU: Pro-Vice-Chancellor UI: Heads of Departments Finance Department GIO	Targets: 12.1 To find out to what extent that a move to on-line teaching has affected perceived teaching overload by some researcher levels. 12.2 Improved information on teaching percentage regulations. Indicators: 12.1a Extensive review of R2/R3 teaching loads has been carried out now that the effects of the pandemic are less extreme. The outcome will govern any further work

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			necessary. 12.2a Improved/clearer information on teaching time expectations available on HV website. Information communicated with researchers. 12.2b Knowledge regarding use of personal development time for co-funding of externally financed projects. 12.2c Document listing any solutions deemed necessary. 12.2d University management has approved solutions. 12.2e All researchers

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			have been informed about teaching percentages by the end of 2024.
Current Status	Remarks		
COMPLETED	12.1 is no longer relevant, so will not be extended as a new Action. 12.2 is extended as well as adjusted, due to the general reasons described above. As a result of internal discussions, they are also divided into two separate new Actions, added below (30 & 31). The main point being that communication about the working time agreement and a possible revision, need their own separate attention.		

**Proposed ACTIONS**

**Action 13**

The gap analysis revealed a general lack of knowledge among staff regarding the complaints/appeals systems available at HV. Activity 13.1 a. Develop better information to R1 researchers that they can contact a student ombud regarding complaints. Ensure information roll-out via HR mailing lists, with help from doctoral committee of the student union. b. Further information roll-out regarding the anonymous whistleblower function that became available during summer 2022 (this function was not available at the time of the gap analysis). c. Ensure that all complaints/appeals systems are available in English. d. Update manager/supervisor training to include new systems. e. Include complaints/appeals section in Research Portal.

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
(+/-) 34. Complains/appeals	Activity 13.1 - Q2/2024	RU: AOL UI: Student Union Doctoral Committee	Targets: 13.1 Improvement in the knowledge regarding complaints/appeals systems at HV. Indicators: 13.1a Information on complaints/appeals sent to all R1 researchers. 13.1b Information sent to all employees regarding whistleblower function. 13.1c Check completed that all complaints/appeals information is available in English. 13.1e Manager/supervisor training programme updated to include complaints/appeals. 13.1d Link to complaints/appeals

**Proposed ACTIONS**

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<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
			included in Research Portal (can only be done when Activity 3.2 is completed).
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED			

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**Proposed ACTIONS**

**Action 14**

The gap analysis identified a need for improvements in continuing research and professional development Activity 14.1 a. Inventory of what courses/training can be organised in-house (investigate the role of the KAMs in training programmes) and what courses require external assistance for R1 and R2 training in generic skills (complementary training) in project management, grant writing, legal matters, leadership, languages (English and Swedish), career planning etc. b. Inform researchers of courses available. Ensure course access even to researchers on short-term contracts Activity 14.2 a. Develop a webpage, linked to the Research Portal, with a list of all centrally available professional development possibilities.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 38. Continuing Professional Development	Activity 14.1 - Q1/2025 Activity 14.2 - Q1/2025	RU: HR UI: AOL, SBIP, GIO, KAMs	Targets: 14.1 Menu of courses that researchers can choose to further their research careers. 14.2 Webpage of courses, collecting together courses run by HV and other partners. Indicators: 14.1a List available regarding in-house and external courses. 14.1b All
(+/-) 39. Access to research training and continuous development			

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			researchers informed of courses. 14.2a Webpage developed with all course information with link included in Research Portal (can only be done when Activity 3.2 is completed).

Current Status	Remarks
COMPLETED	Action 14 is extended as well as adjusted, as a result of internal discussions. In addition to general reasons described above, the main points being that a routine for regularly checking the supply against the needs will be developed. Action 14 is added as a new Action below (32).

**Proposed ACTIONS**

**Action 15**

OTM-R action point 2 is included in this Action. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions? The last update of processes and guidelines in the form of the Recruitment Guidelines was in 2017. A formal review of the processes and documents is being carried out during 2022. New regulations and more detailed guidelines will replace the current procedures in 2023. Activity 15.1 a. Review procedures and practices on OTM-R procedures and practices, and update. b. Published new procedures and practices on HV website . c. Implement and inform relevant staff.

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
(++) 12. Recruitment	Activity 15.1 - Q2/2024	RU: HR	Targets: 15.1
(+/-) 13. Recruitment (Code)			Updated procedures and practices regarding OTM-R.
(+/-) 14. Selection (Code)			Indicators: 15.1a Procedures and practices reviewed and update.
(+/-) 15. Transparency (Code)			15.1b Information published by end of 2023. 15.1c All staff working with recruitment have received

**Proposed ACTIONS**

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<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
			guide by mid-2024.

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<b>Current Status</b>	<b>Remarks</b>
COMPLETED	

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**Proposed ACTIONS**

**Action 16**

OTM-R action points 5 & 23 are included in this Action. Do we have a quality control system for OTM-R in place? Do we have a system in place to assess whether OTM-R delivers on its objectives? Activity 16.1 a. Development of a systematic process for reviewing the university's steering documents and to objectively discuss how the OTM-R process delivers on its objectives. b Establishment of more/better steps in the formal decisions in the recruitment processes to fully ensure OTM-R. c. New regulations and guidelines will be developed to replace the current procedures. d. Implement new regulations and guidelines.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(++) 12. Recruitment	Activity 16.1 - Q1/2024	RU: HR	Targets: 16.1 Improved quality control systems for ensuring that HV follows OTM-R procedures. Indicators: 16.1a Review process for steering documents developed. Dates and procedures established. 16.1b Improved steps developed in the formal decisions in the recruitment process. 16.1c New
(+/-) 13. Recruitment (Code)			
(+/-) 14. Selection (Code)			
(+/-) 15. Transparency (Code)			

**Proposed ACTIONS**

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
			regulations and guidelines drawn up. 16.1d New regulations and guidelines implemented.
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED			

**Action 17**

x

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
(++) 1. Research freedom	x	x	x
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED	Was added by mistake in the last period		

## Proposed ACTIONS

### Action 18

Develop and implement an Open Science policy covering Open Access and Handling of Research Data.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+) 5. Contractual and legal obligations	Q4/2027	SBIP	Target: - The principles and practices of Open Science are well embedded in the work of researchers at University West (HV) Indicators: - Open Science policy approved by the HV management. - Fundamental components of the Open Science policy communicated to all researchers at HV - Training sessions on Open Science items such as Research data

**Proposed ACTIONS**

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<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
			management, established
<b>Current Status</b>	<b>Remarks</b>		
NEW	This work was started in the first implementation period (see Action 2 above). In the second implementation phase, it is lifted out and added as an Action of its own.		

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**Proposed ACTIONS**

**Action 19**

Develop support for the Heads of departments, regarding contractual/legal aspects of research results and teaching materials, to use when researchers end their employment.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+) 5. Contractual and legal obligations	Q2/2026	HR; Unit involved: AoL	Target: - Predictable, clear, and consistent handling of contractual/legal aspect on research results and teaching material, when a researcher leaves HV. Indicator: - The handling of contractual/legal aspect on research results and teaching material, is included in the checklist for when researchers end their employment.

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was started in the first implementation period (see Action 5 above). In the second implementation phase, it is lifted out and added as an Action of its own.

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**Proposed ACTIONS**

**Action 20**

Develop the employee appraisals templates, tailored for the different needs of each R-level.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 11. Evaluation/ appraisal systems	Q3/2028	HR	Target: - Predictable, clear and consistent evaluation and tailored feedback provide researchers with good opportunities for continued development and progressed career. Indicators: - Improved templates established and communicated - Templates used and evaluation mechanism in place

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was started in the first implementation period (see Action 4 above). In the second implementation phase, it is added as a new Action.

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**Proposed ACTIONS**

**Action 21**

Improve current advertisement templates –for use, both in national and international contexts

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Q2/2026	HR	Target: - The recruitment advertisements are perceived as clear and efficient. Indicators: - Input from recently recruited staff on advertisement - Improved advertisement templates established and communicated - Templates used and evaluation mechanism in place

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was started in the first implementation period (see Action 5 above). In the second implementation phase, it is lifted out and added as an Action of its own.

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**Proposed ACTIONS**

**Action 22**

Improve recruitment process for PhD students

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Q1/2027	HR	Target: - The recruitment process for PhD students is perceived as predictable, transparent, and efficient. Indicators: - - Improved recruitment process for PhD students established. - Process used and evaluation mechanism in place

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was started in the first implementation period (see Action 5 above). In the second implementation phase, it is lifted out and added as an Action of its own.

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**Proposed ACTIONS**

**Action 23**

Develop practices and methods for international recruitment further

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Q3/2028	HR	Target: - University West attracts international competence according to needs identified by the departments Indicator: - Survey and analysis of needs completed - List of prioritized international channels, to use for communication and advertising, established and communicated

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was started in the first implementation period (see Action 5 above). In the second implementation phase, it is lifted out and added as an Action of its own.

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**Proposed ACTIONS**

**Action 24**

Improve training processes for personnel involved in recruitment processes, primarily managers but also others

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Q4/2027	HR	Targets: - Personnel involved in recruitment processes, primarily managers but also others, are adequately trained Indicators: - Analysis of existing training completed - Plan and routine, for how to adjust training needs, established and communicated

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was started in the first implementation period (see Action 6 above). In the second implementation phase, it is added as a new Action.

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**Proposed ACTIONS**

**Action 25**

Clarify and communicate career paths at HV

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 28. Career development	Q4/2026	HR	Target: - Researchers have knowledge about facts and conditions regarding career paths at HV Indicators: - Updated information about employments and promotions at HV, as well as requirements and qualifications needed for the same, is published at the web portal.

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was started in the first implementation period (see Action 10 above). In the second implementation phase, it is lifted out and added as an Action of its own.

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**Proposed ACTIONS**

**Action 26**

Improve communication about general career support at HV and about general career support and opportunities outside of HV

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 28. Career development	Q4/2026	HR; Units involved: SBIP, GIO, AoL	Target: - Researchers have knowledge about where they can turn for information and support for their career planning Indicator: - Information about HV general career support is published at the web portal. - Also information on professional development courses and workshops, see Action
(-) 30. Access to career advice			

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			32, below. - Information about general career support and career opportunities outside of HV and outside of academia, is published at the web portal.

Current Status	Remarks
NEW	This work was part of the first implementation period (see Action 10 above). In the second implementation phase, it is lifted out and added as an Action of its own.

**Proposed ACTIONS**

**Action 27**

Investigate if the structured individualized career support needs to be further developed. Implement improvements if needed.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 28. Career development	Q3/2028	HR; Units involved: AoL, GIO	Target: - Researchers receive individual career support, for their career planning, as part of a regular review. Indicators: - Analysis of existing career plan items (including awareness of opportunities outside of academia), in the employee appraisals templates, is completed (see Action 20). - Analysis of existing career plan items (including awareness of
(-) 30. Access to career advice			

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			<p>opportunities outside of academia), in the Individual Study Plan for PhD students (ISP), is completed. - Improvements, if any, inserted in the relevant document(s) above. - Analysis of the need for a complementing career plan structure, for senior researchers supporting junior researchers - If needed, a career plan structure, for senior researchers supporting</p>

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			junior researchers, is established and communicated
Current Status	Remarks		
NEW	This work was part of the first implementation period (see Action 10 above). In the second implementation phase, it is lifted out and added as an Action of its own.		

**Proposed ACTIONS**

**Action 28**

Investigate the need and possibility of collaborating with other universities on a mentorship program for research leaders (and managers).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 28. Career development	Q3/2028	HR	Target: - Those who support researchers have themselves the opportunity to be supported. Indicators: - Analysis of needs completed - Decision made on whether the university should work to implement a mentorship program or not.

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was part of the first implementation period (see Action 10 above). In the second implementation phase, it is lifted out and added as an Action of its own.

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**Proposed ACTIONS**

**Action 29**

Develop co-authorship guidelines

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 32. Co-authorship	Q4/2027	SBIP	Targets: - Researchers at University West are recognized for their contributions, as co-authors of papers Indicators: - Analysis of current co-authorship practices completed - Co-authorship guidelines (per research area or as needed) established and communicated

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was started in the first implementation period (see Action 11 above). In the second implementation phase, it is added as a new Action.

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**Proposed ACTIONS**

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**Action 30**

Ensure that information about the working time allocation system is accessible to managers and researchers.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 33. Teaching	Q1/2028	HR	Target: - Researchers have an adequate understanding of the working time allocation system and how they are affected. Indicator: - Communication action for managers is completed. - Information about the working time allocation system is published at the web portal.

**Proposed ACTIONS**

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**Current Status**

**Remarks**

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NEW

This work was part of the first implementation period (see Action 12 above). In the second implementation phase, it is lifted out and added as an Action of its own.

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**Proposed ACTIONS**

**Action 31**

Analyze the university's current working time contract for researchers. If necessary, begin the development of a new working time contract.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
( +/-) 33. Teaching	Q2/2027	HR	Target: - A working time contract ensuring the needs of the university as well as providing clarity for managers and researchers when allocating working time. Indicators: - Decision on whether the university should develop a new working time

**Proposed ACTIONS**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			agreement or not.
Current Status	Remarks		
NEW	This work was part of the first implementation period (see Action 12 above). In the second implementation phase, it is lifted out and added as an Action of its own.		

**Proposed ACTIONS**

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**Action 32**

Develop and communicate access to continuous professional development for researchers

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 38. Continuing Professional Development	Q2/2027	HR; Units involved: AOL, SBIP, GIO	Targets: - Researchers at University West are given the opportunity for continuous professional development through predictable and sustainable access to courses and workshops etc Indicators: - Survey and analysis of needs completed - Process for how to adjust the course and workshop supply to the needs, established - List of available in-
(+/-) 39. Access to research training and continuous development			

## Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			house and external courses and workshops established and communicated.
Current Status	Remarks		
NEW	This work was started in the first implementation period (see Action 14 above). In the second implementation phase, it is added as a new Action.		

### Unselected principles:

- (++)3. Professional responsibility    (++)4. Professional attitude    (++)6. Accountability    (++)8. Dissemination, exploitation of results
- (++)9. Public engagement    (++)10. Non discrimination    (++)16. Judging merit (Code)    (++)17. Variations in the chronological order of CVs (Code)
- (++)18. Recognition of mobility experience (Code)    (++)19. Recognition of qualifications (Code)    (++)20. Seniority (Code)
- (++)22. Recognition of the profession    (++)23. Research environment    (++)24. Working conditions
- (++)25. Stability and permanence of employment    (++)26. Funding and salaries    (++)29. Value of mobility    (++)31. Intellectual Property Rights
- (++)35. Participation in decision-making bodies    (++)36. Relation with supervisors    (++)37. Supervision and managerial duties

(++)40. Supervision

**The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.**

Please provide the link to the dedicated webpage(s) on your organisation's web site, multiple links must be comma separated \*:

<https://www.hv.se/en/hrs4r> (<https://www.hv.se/en/hrs4r>)

**URL \*:**

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress.

**Comments on the implementation of the OTM-R principles (Initial Phase)**

Many of the identified development areas were known within the organisation before the start of the HRS4R process. Due to this, much of the work addressing the identified areas in the Gap Analysis is already underway. These planned improvements will take OTM-R into account in future work. Many of the developed actions are based on reviewing or producing steering documents that regulate various areas. A risk identified with this is that knowledge within the organisation may be lacking if this is not anchored or fully communicated. One way to avoid this is included in activity 5 in the action plan that HR needs to be more visible around the university, informing and discussing with personnel and managers prior to new recruitments. This will be carried out through relevant activities that will be developed and implemented.

The Employment Regulations and the Guidelines for Employment and Promotion at HV highlight many of the points in OTM-R. A formal review of the processes and documents regarding OTM-R is being carried out during 2022 and 2023. New regulations and more detailed guidelines will replace the current procedures in 2023. The purpose of the Employment Regulations is to ensure the requirement of Open, Transparent and Merit-based Recruitment, as well as to support the work of attracting, recruiting, developing and retaining teachers and researchers with qualified competence within the framework of the university's mission, vision and goals. HV is not only updating the Employment Regulations but also the guidelines for the application of the employment regulations. This document describes processes and routines for employment and promotion. To support these processes, there are templates and instructions as appendices.

The new regulations and detailed guidelines cover some of the identified improvement areas. To ensure that every recruitment team and HR unit are aware of the OTM-R principles, a review of the training of both managers and selection committee members will be carried out (action 6).

Formal dates and procedures for controlling and reviewing OTM-R will be implemented in the HR department's annual operational activities. This allows continual follow-up of the work to remedy the identified gaps, but also the work with planned actions. The use of Euraxess to reach a wider audience and attract researchers from abroad is one improvement area. A formal guide for where to advertise vacancies will be implemented to ensure further improvement (action 5).

As mentioned in the implementation text, the university's management team uses a strategic planning cycle based on eight thematic areas. One of these areas is competence supply. In recent years, the management team has worked out impact targets and strategies for 2023-2027. The identified activities are planned one year at a time and are based on an agile approach. As far as possible, activities from OTM-R will be integrated into this cycle, for example, activities such as training for managers, attracting international competence as well as career support and career development. By integrating activities from OTM-R, we ensure that activities, as far as possible, are integrated into the university's normal operations and allowing regular follow-up at management level based on the strategic cycle, and not only by the HRS4R Steering Committee.

#### **Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)**

The work on improving the University West (HV) Open, Transparent and Merit-Based Recruitment Policy is ongoing. Progress on several accounts has been made during the current period. The updated HV Appointments procedure (OTM-R policy) with associated guidelines and procedures (Action 15) have had a significant impact on the collected development effort. It has also strongly contributed to the progress on several of the identified OTM-R shortcomings.

A total of four out of six actions (incl sub-activities) in the 2023-2025 action plan have been completed:

- Action 7: A review of the process for providing feedback to applicants has been conducted, and a template with standard wording is available in the recruitment system, for support.
- Action 9: Extensive work has been carried out in the area of gender equality. The updated Appointments procedure (OTM-R policy), together with associated guidelines, clearly specifies the principles in regard to include equal conditions and gender equality in the processes of recruitment and promotion. Operationally, the university has, among other things, reviewed and ensured governing documents regarding an even gender distribution in committees and selection panels, as well as regarding experts.
- Action 15: As previously mentioned, the Appointments procedure (OTM-R policy), along with associated guidelines and procedures, have been updated and implemented.
- Action 16: According to the university policy, governing documents should be reviewed every two years. This means that the HV Appointments procedure (OTM-R policy) will be regularly examined. In connection with this review the OTM-R principles and how well they are being met, will be evaluated. As a result of the updated Appointments procedure, there is also an

updated approval scheme that governs how, when, and who makes the formal decisions in the recruitment processes.

Regarding Action 5, two of the six sub-activities are completed:

- Informative links have been added to templates for advertisements aimed at international researchers (activity 5.2),
- A list of possible platforms for advertising has been created and communicated (activity 5.5).

Work remains on three sub-activities (5.1, 5.3, and 5.6). These are included in the Action plan for the upcoming three-year period:

- Improve current advertisement templates (Action 21 of upcoming Action plan)
- Improve recruitment process for PhD students (Action 22 of upcoming Action plan)
- Develop practices and methods for international recruitment further (Action 23 of upcoming Action plan).

Activity 5.4 is removed as it has been settled that there is no intrinsic value in the HR department being visible. Instead, the HR department aims to make sure that researchers at University West are well acquainted with HR rules, regulations and processes, according to their needs.

Regarding Action 6, work still remains to be done and is hence included in the Action plan for the upcoming three-year period:

- Improve training processes for personnel involved in recruitment processes (Action 24 of upcoming Action plan)

**Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.**

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located. Multiple links must be comma separated.

**URL:** <https://www.hv.se/en/meet-university-west/job-opportunities/> (<https://www.hv.se/en/meet-university-west/job-opportunities/>)

## 4. Implementation process

**General overview of the implementation process: (max. 1000 words)**

The work on implementing the Action Plan is ongoing since the start of the first implementation phase. The actions and activities derived from the Gap analysis are all part of University West ordinary operations and hence addressed regularly. The pace has however suffered this first phase as has the overseeing implementation and coordination organisation. The main reason being staff turnover. The university (as well as the national sector as a whole), has experienced a strained financial situation. Large savings have been needed in order to get the numbers in

balance, resulting in staff laid off. This transition process has affected the coordination of the HR Award process, both because of the loss of some key persons and because of the necessary prioritization of administrative resources as a whole to the former process. In addition, the assignment of a new Vice-chancellor in August 2023 and a new Pro vice-chancellor in Dec 2023 have further affected the coordinating organisation.

The new University management has come to the decision to change the University West HR Award organisation, from working as a project, separate from the ordinary university organisation, to be embedded in regular processes, bodies and operations. These modifications are described below.

Steering committee – instead of a separate HRS4R Steering committee this is now the responsibility of the Employment Strategy Council (Arbetsgivarstrategiska rådet; AGR). AGR is a new committee since last period (as is the Research Strategy Council, FSR, below). The area of skills provision was previously part of the University management strategic annual planning cycle but is now lifted out to be handled by this strategic council. AGR is a committee directly under the University management. The group is chaired by the Vice Chancellor and comprises all the Heads of departments as well as the Heads of management. They meet every month, and the HR Award processes is a standing item on the agenda. The participation of the Heads of departments ensures direct communication of HR Award matters to and from the PhD students and researchers of the respective departments.

- For research-specific matters, AGR is in charge of consulting a second committee directly linked to the University management: the Research Strategy Council (Forskningsstrategiska rådet; FSR). This group includes representation of the different research levels at the university, from doctoral students to professors.
- For matters that need a Vice chancellor decision AGR is in charge of forwarding these to the University Management Team (Högskolans ledningsgrupp; HLG). This group includes (among others) the Heads of Department, the Operation Managers of the two University West Complete academic environments and a student representative and is the preparatory body for Vice-chancellor decision.

Reference group – instead of a separate HRS4R Reference group the research community is involved via representation in the FSR and HLG committees, as well as individually via the Heads of Department in AGR, as described above.

- In addition, PhD students and researchers are involved at an individual level via the annual performance appraisal, conducted at least once a year. Items covered are for example tasks, work environment, relationships, cooperation, leadership, skills development and the future. Through a health-promoting (salutogenic) approach the conversation focuses on opportunities instead of problems. The template used, and specifically the possibility to update the same, is indeed a tool for the implementation of relevant HR Award items.
- PhD students and researchers are involved at an individual level also via the ARK intervention programme that runs every three years (next time in the autumn of 2026). ARK is designed by and for the higher education sector - as a tool for promotion of psychosocial factors in the work environment. ARK is used by University West instead of a traditional employee survey. ARK is a comprehensive, research-based programme that focuses on both strains and resources, contributing to increased knowledge about issues concerning work environment and organizational climate.

- If researchers need to be actively consulted on their opinions on different activities and needs, additional tools such as surveys, hearings or workshops will be used.

Implementation group – instead of an Implementation group AGR is now the body in charge for the implementation of the European Charter for Researchers, as described above. Administrative support is provided by the Human Resource Office as they see fit. Presently this comprises a coordinating team of one HR officer and one Research officer.

Make sure you also cover all the aspects highlighted in the checklist, which you will need to describe in detail:

**Note:**Click on each question of the checklist to open the editor.

How have you prepared the internal review?\*



**Detailed description and duly justification (max. 500 words)**

The preparation for the internal review started in late 2024 with a coordinating team of one HR officer and one Research officer, both new to the HR Award process, being assigned to the job. The team has been in contact with the responsible units of the activities in the Action plan, the chair of the HRS4R Steering committee as well as the University management team, in order to get updated on the status of activities and the organisation and implementation as a whole. In close collaboration, current activities and possible new ones have been discussed, as have the organisation in charge of the HR Award implementation, resulting in the present report.

How have you involved the research community, your main stakeholders, in the implementation process?\*



**Detailed description and duly justification (max. 500 words)**

The HRS4R Reference group was consulted early in the first implementation phase but not later, due to the implementation of the HR Award process not being fully at speed, as mentioned above. Researcher have however been involved in HR Award issues at an individual level via the annual performance appraisal as well as the ARK intervention programme, as described above.

Do you have an implementation committee and/or steering group regularly overseeing progress?\*



**Detailed description and duly justification (max. 500 words)**

Yes, the Employment Strategy Council (Arbetsgivarstrategiska Rådet; AGR), a committee directly under the University management, is in charge of overseeing the HR Award process as University West. This group is chaired by the Vice chancellor and comprises all the Heads of departments as well as the Heads of management. The group meets every month, and the HR Award processes is a standing item on the agenda. The participation of the Heads of departments ensures direct communication of HR Award matters to and from the PhD students and researchers of the respective departments.

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy \*



**Detailed description and duly justification (max. 500 words)**

The thematic areas of the Charter is an integrated part of the university activities and the developments of the same. The HR Award plan is presently not mentioned in any university policies.

How has your organisation ensured that the proposed actions would be also implemented?\*



**Detailed description and duly justification (max. 500 words)**

Most of the HR Award activities have been integrated in the regular operations of the university from the start. With the revised organisation described above, as well as the revised Action Plan for the upcoming three years, the overlap is now complete – there are no HR Award activities outside of ordinary University West activities.

AGR is in charge of regularly overseeing progress of the implementation of the HR Award Action plan. The group meets every month, and the HR Award processes is a standing item on the agenda. Any of the Heads of units, in charge of respective Actions, can add items to the agenda. In addition, the HR Award coordinating team is responsible for updates, at least every six months. Matters will be dealt with according to standard procedures at the university. HR Award results will be linked to the University management strategic annual planning cycle as part of the university quality assurance system for research.

How are you monitoring progress (timeline)?\*



**Detailed description and duly justification (max. 500 words)**

The HR Award coordinating team is responsible for updating AGR, the committee in charge of overseeing progress of the implementation of the HR Award Action plan. This will happen at least every six months and include reports on the progress of the actions. In addition, any of the Heads of units, in charge of respective Actions, can add items to the agenda. Matters will be dealt with according to normal procedures at the university.

How will you measure progress (indicators) in view of the next assessment?\*



**Detailed description and duly justification (max. 500 words)**

The indicators for each activity will be part of the progress monitoring process, described above. Fulfilment of indicators will be logged together with relevant details such as timing, documents, web sites, participants etc.

How do you expect to prepare for the external review?\*



**Detailed description and duly justification (max. 500 words)**

With the organisation, including documentation, set up as described above, we expect external evaluators to have easy access to the results of the second implementation phase action plan. In addition, the on-site visit will be planned well in advance in order to make the most of it, for all involved.

**Additional remarks/comments about the proposed implementation process: (max. 1000 words)**