

Internal Review

Case number: 2019SE450153

Name Organisation under review: Lund University, Lund, Sweden

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1. Organisational Information

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

STAFF & STUDENTS	FTE (December 2021)
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	4804
Of whom are international (i.e. foreign nationality) *	Approximately 54% of the researchers are international
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	3068
Of whom are women *	2042
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	1589
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	1177
Of whom are stage R1 = in most organisations corresponding with doctoral level *	1413
Total number of students (if relevant) *	29091 FTE
Total number of staff (including management, administrative, teaching and research staff) *	7383 FTE

RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	901 000 000
Annual organisational direct government funding (designated for research)	259 000 000
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	215 000 000
Annual funding from private, non-government sources, designated for research	144 000 000

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

Lund University was founded in 1666 and is repeatedly ranked among the world's top 100 universities. The University has around 46 000 students and more than 8 400 staff and provides education and research with a unique disciplinary range within the following areas:

- Economics and management
- Humanities and theology
- Law
- Fine and performing arts
- Engineering
- Medicine
- Science
- Social sciences

Lund University has a distinct international profile, with partner universities in 70 countries. The University is active in networks and partnerships which have the aim to strengthen research and education e.g. LERU, EUGLOH, CESAER, U21 and Euraxess-Sweden.

2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the four thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should 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.

Ethical and professional aspects:

Academic freedom is a cornerstone of Swedish democracy and it is stated in both the Swedish constitution and in the Swedish Higher Education Act. Researchers are free to study various scientific issues, without political pressure, independent but also innovative and curiosity-based research is ensured.

Over the last couple of years Lund University has continue to strengthen this area. One example is the new position Pro Vice-Chancellor for Communication, Integrity and Character, appointed by the new University Management. The Lund University Ethics Council has changed its mission to also address academic freedom and is now called the *Council for Ethics and Academic Freedom*. The council works to enhance the awareness and importance of an ethical approach in Lund University's activities. The purpose is to stimulate discussion and debate on ethical issues and to promote knowledge development in the field of ethics and academic freedom. The Ethics Advisory Board advises the Vice-Chancellor and the Vice-Chancellor's Management Council on ethical issues.

When it comes to ethical aspects:

- All PhD students must attend a two-week course on research ethics. An online course for postdocs and senior researchers is currently available at the Faculty of Medicine, and a new course for employees at all faculties will be available in 2022.
- Information and discussion meetings open to all employees are held on ethics topics. They are in different forms, both digital and physical and includes both short lunch meeting and longer seminars.
- Employees can turn to a research ethics advisor if they have any questions relating to ethical review or other aspects of research ethics regulation, or if they want to discuss ethical aspects of a certain project. Useful information is also available online.
- PhD students and supervisors jointly consider ethical aspects in the student's individual study plan.
- All faculties have a research representative who can be consulted on questions related to good research practice. And the University's Council for Ethics and Academic Freedom arranges seminars on related themes.

There is currently no systematic follow-up in place to ensure that all researchers are kept updated on important ethical principles and rules.

Remarks (max 500 words)

During the interviews with researchers the difficulty of finding relevant information on the University webpages was identified, for example regarding good research practice and legal compliance. This has been addressed in the action plan, but we saw the need to employ a web editor for 18 months to work more strategically on the structure and content of the internal webpages and to have an overall view. A group leader for the in-house *Translation and Language Services* was also employed to ensure high-quality translated information at Lund University.

Recruitment and selection:

Recruitment is crucial in Lund University's vision to be a world-class university that works to understand, explain and improve our world and the human condition. A large part of the work to improve recruitment is done by the faculties, but there are also issues that Lund University can work on together. One prerequisite for recruitment on objective grounds is that gender awareness is an element in every stage of the process, from needs analysis to appointment and continued career progression

Lund University's (LU) Appointment Rules (reg. no STYR 2022/286) are based on the Swedish legislation for public authorities that includes a requirement for transparency and equal treatment. We are by law obligated to recruit based on the principle that attention shall be paid only to objective factors such as service merits and competence. Competence shall be a primary consideration unless there are special reasons for doing otherwise. LU is governed by the principle of public access to official documents. The Appointment Rules are complemented by a policy to guide the long-term strategic and operational work on appointments, good and clear career paths and talent management concerning teaching staff and researchers at Lund University. The appointment process has been mapped in the first implementation stage of the HRS4R Action Plan and is published on lu.se, for applicants to get a better understanding of the different steps in the process. The process is also mapped and described in detail to help the faculties' appointment boards in the further development of their work. LU has a common course available for new members of appointment boards, regarding the basics of the appointment process, such as legal compliance, equality and diversity. The appeals process for appointments is legislated and ensures that the appointment boards abide by the appointment regulations, regarding for instance transparency, equality and merit.

One weakness, which is also a strength, is that the University is very decentralised. The faculties have great power to implement their own cultures and decide on their own organisation. This means that there are 8 different faculties which organise research and education differently and this affects the possibilities to implement common systems and policies. The faculties have to agree on larger decisions that affect the work and organisation. Change does happen, but it takes time. On the other hand, the decentralisation also helps breed flexibility and encourages accountability.

As in the rest of the EU, there is also a need to discuss the development of the assessment of researchers, to broaden what is taken into account and shift the focus from quantitative indicators to qualitative assessment of contributions. Since the University puts a lot of emphasis on work environment, equality and diversity, the need for supplemental merits is greater now than 20 years ago. The need for great research will always be there, but in a good combination with great teaching, leadership and

collegial skills.

In 2020, Lund University undertook a major Research Quality Evaluation (RQ20). The RQ20 report, described in more detail under the question “How have you prepared for the internal review”, emphasises the importance of good recruitment and a qualitative recruitment process. The Vice-Chancellor appointed a reference group in August 2021 to stimulate the development work on recruitment (STYR 2021/1699). The reference group's mission was to use the findings and recommendations in the final RQ20 report, the action plan for HR Excellence in Research, the recommendations from the mid-term follow-up of the strategic plan as well as other relevant development work and projects within the recruitment area and prepare short proposals with regard to e.g. current situation analysis, challenges and opportunities, and target image. The reference group submitted a proposal to the Vice-Chancellor for further processing on 28 January 2022 (STYR 2021/1699). In May 2022 a strategic decision for development work in (STYR 2022/1129) was decided by the Vice-Chancellor targeting several areas to further increase the quality of recruitment.

Remarks (max 500 words)

Working conditions:

Working and employment conditions are regulated in national law and collective agreements, which set a high standard and grant the employees benefits, such as paid parental leave and long vacations. The Work Environment Act is being implemented at all levels of the University, regarding health and safety at the workplace. The employees are given great opportunities to participate in decision-making bodies, as well as the possibility to vote in the elections for the main academic management positions and participate in the appointment of the Vice-Chancellor.

An important task for Lund University is creating a good and safe work environment. Preventive work environment management leads to a better work environment for employees. Consideration of the work environment and safety is to be integrated into everything we do and form a natural part of all operational planning. Health and safety representatives are also elected to represent employees in work environment issues.

In the 2017-2026 Strategic Plan for Lund University there is a strong emphasis on development of leadership and collegiality as Success Factors. This means that the University puts extra effort into management and leadership training, as well as support for managers and leaders. We work with managers' work environment and competence development through two projects, “future leadership development within LU” and “The manager's platform”. Lund University is part of a worldwide academic community and stands behind the basic core values agreed by European universities in the Magna Charta Universitatum.

In the Equal Opportunities Plan for Lund University, 2022-2027, the emphasis lies on pre-emptive work. It is a vision that presupposes academic freedom but also a good work and learning environment. The organisation is to safeguard democracy, legality, impartiality, freedom of opinion, respect for everyone's equal value, efficiency and service, and human rights and freedoms. Our

organisation is also based – pursuant to the strategic plan and antidiscrimination legislation – on gender equality, equal opportunities and diversity. We are implementing a systematic and qualitative including an expert group, equality team, coordinators and networks (similar setup to how we work with work environment).

As stated under “Recruitment and selection”, a big challenge is the wide decentralisation of the University. One is that there is no shared Lund University intranet. There are a lot of guidelines and support in the organisation for managers and employees, but it is sometimes difficult to reach all those who might need it. The systems and channels for communication within the organisation need to be coordinated and used so the support reaches all those who need it.

Remarks (max 500 words)

Training and development:

A cornerstone in research is to evolve knowledge through working, but Lund University also offers an extensive range of training and development courses for different categories of staff and our professional development portal consists of around 150 courses (Swedish or English) directed towards both managers at various levels and all employees at Lund University. There are also a number of faculty-specific courses. There are several courses to improve both Swedish and English since language skills are important to be part of the community and to be able to participate in boards and committees. Lund University offers several courses on teaching and learning for all who teach at the university, for example senior lecturers, lecturers, professors, doctoral students and supervisors.

To strengthen the opportunities to attract, retain and develop employees, Lund University has highlighted a number of career opportunities for academic staff. The career development activities are given in English and most of them are free of charge for individuals and institutions. There are activities that are adapted for doctoral students, for postdoctoral staff and for research team leaders. The purpose of these career development activities is to create a platform for coordinated, qualitative and proactive career support for doctoral students and postdocs at Lund University. The career development offered within the framework of the concept is a complement to the course at faculty level.

Lund University also hosts many events that are free to attend. One example was the open seminar (part of action plan target 3.2) about research communication with 150 attendees.

Merits and skills linked to education, research, collaboration, leadership and the ability to contribute to a good work and learning environment are all factors that should be considered and assessed by appointments boards in different ways.

One weakness is that researchers can find it hard to prioritise training and development over research. It is important that the University Management continues to encourage staff to grow both their network and their knowledge.

Remarks (max 500 words)

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

- Three areas of improvement were identified (in RQ20) that will influence the priorities: recruitment, leadership and organization. When it comes to recruitment a decision has been made on the grounds of the recommendation and will keep being prioritized both short and medium term.
- Five profile areas at Lund University have been selected in a process that highlighted strong knowledge environments for 2022-2030.

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)

- Most of the period leading up to the self-assessment has been heavily affected by the Covid-19 pandemic. Despite that, all activities were completed within this period.
- In January 2021, Lund University changed its University Management (except the University Director). The new management was appointed by the Government and University Board and is composed of the Vice-Chancellor, the Deputy Vice-Chancellor and five Pro Vice-Chancellors. Also new HR director was appointed with the aim to develop the HR at Lund University.
- From the start of 2021, Lund University developed the commitment to equal opportunities by the introduction of the Equal Opportunities Team (EO Team) at the central level as well as at least one Equal Opportunities Coordinator at each faculty. The team coordinates the work and works closely with the Pro Vice-Chancellor for Communication, Integrity and Character, who is the chair of the Council for Gender Equality and Equal Opportunities. Since April 2021, the council has included management from each faculty. The EO Team supports EO coordinators in the preventive work against discrimination and against harassment and sexual harassment. The team supports managers and HR in the handling and investigation of harassment and sexual harassment, as well as the aftermath of such incidents.
- The Council for Gender Equality and Equal Opportunities is a prerequisite for supporting the strategic work for gender equality and equal opportunities that the new Vice-Chancellor and Pro Vice-Chancellor are conducting. The council has been integral to the development of the University's ambitious Equal Opportunities Plan for 2022-2027.
- The strategic decision for development work in (STYR 2022/1129) decided by the Vice-Chancellor targeting several areas to further increase the quality of recruitment.

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

- Development of the new research strategy for Lund University for the period 2023-2026.
- Development of leadership strategies decisions
- The continuation of the five profile areas at Lund University for 2022-2030.

- The parliamentary elections September 2022 in Sweden, the new research bill in 2024 and the changes in the global political context may affect the university in the coming years.
- Challenges in the European energy supply and economic development.
- National changes in the labour law and its implementation.

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 select new objectives.

List of actions			
Action 1	GAP Principle(s)	Current Status	Responsible Unit
		Completed	Medical Ethics
<p>Development of an online ethics course – available for all</p> <p>The compulsory ethics course for doctoral students will be launched in 2021 and contribute to an ethical approach at the University. Interviewed researchers have pointed out deficiencies in knowledge at all research career stages.</p> <p>In order for Lund University to guarantee that research at the University is consistent with established principles of research ethics and relevant legislation, a compulsory online ethics course is produced for newly employed researchers and those involved in the research process. The course will be offered on a voluntary basis to all other staff as a way to raise expertise on a broad front, as well as increase the understanding of research</p>	2. Ethical principles	<p>Indicator(s) / Target(s)</p> <p>Indicators:</p> <p>1.1 Design of course and layout content.</p> <p>1.2 Online ethics courses in Swedish and English ready to launch</p> <p>Target:</p> <p>To raise awareness and knowledge on research ethics in the research community and contribute to an ethical approach on individual and group level.</p>	<p>Timing (at least by year's quarter/semester)</p> <p>1.1 Q4 2021</p> <p>1.2 Q4 2022</p>
		Remarks	
		Both 1.1 and 1.2 are completed and an online course is in place to be launched.	

activities among those who are not involved in these issues on a daily basis.			
Action 2	GAP Principle(s)	Current Status	Responsible Unit
		Completed	Research, Collaboration and Innovation
To create a comprehensive web overview of good research practice and legal compliance – making it easy to do the right thing.	2. Ethical principles 3. Professional responsibility 4. Professional attitude 5. Contractual and legal obligations 7. Good practice in research 31. Intellectual property rights	Indicator(s) / Target(s)	Timing (at least by year's quarter/semester)
Researchers find it difficult to access of overall information about the laws, rules and regulations, policies and guidelines that regulate and affect research and available internal support. There is a large amount of material on the LU website about different phases and support in the research process, but it is distributed over different web pages and is not always available in English. A comprehensive and easily accessible web overview of research practice issues with links to existing material, including linking together resources, support and courses with the respective area of regulation		Indicators: 2.1 Overview of online information, courses and related material. 2.2 Proposal for a coordinated online presentation model Target: To present information on research compliance comprehensively and easily accessible with the aim to increase knowledge and compliance.	2.1 Q4 2021 2.2 Q2 2022
		Remarks	
		The aim of this subproject is to present research compliance on the web to researchers in a comprehensive and easily accessible way. 2.1 An overview of the existing and relevant online information, courses and related material has been conducted by mapping the widespread material and interviewing the experts on each compliance area. The basis for establishing an internal compliance network is also a result of this work. 2.2 A proposal for an online presentation, a thematic model, has been developed and was published in September on the University web. To ensure that the targets of the project had been met, it was tested by the experts in each area, a group of researchers and research administrators working closely in a supporting role for researchers. A continuation plan, including development, has been drawn up.	
Action 3	GAP Principle(s)	Current Status	Responsible Unit
		Completed	Research, Collaboration and Innovation
Develop research communication support and training	8. Dissemination, exploitation of results 9. Public	Indicator(s) / Target(s)	Timing (at least by year's quarter/semester)
The effective presentation of		Indicators: 3.1 Follow up internal Lund University project report	3.1 Q4 2022 3.2 Q4 2022

<p>research to 8. Dissemination, exploitation of results 9. Public engagement 28. Career development 3.1 Q4 2022 3.2 Q4 2022 7 the general public, users and developers is difficult. Researchers need training in research communication. Researchers point out the importance of communicating their research, but lack both necessary time and skills. Highlight existing support and offer training.</p>	<p>engagement 28. Career development</p>	<p>(Forskningskommunikation – utvecklat och samordnat stöd) from 2019</p> <p>3.2 Develop courses/equivalent within the framework of the career concept (see career support below)</p> <p>Target: Effective and appropriate support to researchers at different levels in the organisation. Increased knowledge among researcher in research communication.</p>	
		Remarks	
		<p>3.1 One critical aspect is to ensure a coordinated approach for research communication at the University level and a new person has been recruited with the aim to work on research communication for Lund University including all faculties. In addition, the project group has participants from various departments at Lund University, including HR, and several topics have been resolved and a common view on several areas has been achieved.</p> <p>3.2 A concept (implemented on a webpage https://www.staff.lu.se/research-and-education/research-support/communicate-your-research) for increased transparency has been developed and consists of: 1) Notification and evaluation of course activities together with the career concept. 2) A website where activities are announced. 3) Notification of course activities via Corporate Communication channels. 4) Dialogue with course leader. Six different course activities have been run via the concept – three of which were developed by the project. The project has also developed and carried out a half-day panel debate focusing on research communication.</p>	
Action 4	GAP Principle(s)	Current Status	Responsible Unit
<p>Provide easily found information regarding terms of employment.</p> <p>Information about Lund University and the existing rules</p>	<p>10. Non discrimination 12. Recruitment 23.</p>	<p>Indicator(s) / Target(s)</p> <p>Indicators: 4.1 Documents/pages translated into English on the LU website. Applies to both general</p>	<p>Timing (at least by year's quarter/semester)</p> <p>4.1 Q4 2021 Review current information Q4 2022 Updated information 4.2 Q4 2021 Review current documents and information Q4</p>

<p>and terms of employment is provided via the Lund University website, but is not comprehensive. Among other things, translations are missing of relevant documents and pages, and there is a lack of information adapted for specific target groups.</p> <p>The <i>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University</i> (STYR 2019/1076, principle 7) states that Lund University is to develop as an international higher education institution, and ensure that there is an international perspective in all activities. The University is to be attractive to and inclusive of international employees. This means that important information at all levels of the organisation is in English. This is also one of the goals in the <i>Action plan for internationalisation</i> (SAMV 2018/444)</p> <p>Documents to individuals concerning e.g. appointments and admissions must also be available in English.</p>	<p>Research environment 24. Working conditions</p>	<p>information and individual information. 4.2 Clear information concerning terms of employment/processes/career support on the LU website, in both Swedish and English. The information is to be adapted for specific target groups and will be followed up through surveys.</p> <p>Target: To provide easily accessible and informative information to employees, presumptive staff and others on Lund University website in both Swedish and English.</p>	<p>2022 Updated documents and information</p>
Remarks			
<p>4.1 Completed. Relevant documents/pages have been translated into English on the LU website. Applies to both general information and group-specific information. The development of an academic chart is in progress with the aim to visualise different career paths.</p> <p>4.2 Clear information concerning academic positions has been produced, see webpage Academic positions at Lund University Lund University. Specific information for doctoral students has been produced, see webpage Terms of employment for doctoral students Staff Pages (lu.se) The new information is available in English. Now the information also highlights the differences between being employed versus being on a stipend. The information has been followed up through feedback from specific groups and changed accordingly.</p>			
Action 5	GAP Principle(s)	Current Status	Responsible Unit
		Completed	Human Resources
<p>Clarify the process for recruitment of researchers involved in teaching.</p> <p>Clarification of the appointment rules is carried out because of the need for additional information on aspects such as vacant positions and appointment decisions.</p> <p>There is a need for a process description of research positions (involved in teaching) in order to</p>	<p>12. Recruitment 27. Gender balance</p> <p>OTM-R checklist: 2,7,8,12,13, 21,23</p>	<p>Indicator(s) / Target(s)</p> <p>Indicators: 5.1 Updated and communicated appointment rules. 5.2 A clear, effective and qualitative recruitment process is in place for all research positions. The process is published on external and internal websites, in Swedish and</p>	<p>Timing (at least by year's quarter/semester)</p> <p>5.1 Q4 2022 5.2 Q4 2022 5.3 Q2 2022</p>

<p>ensure equal and correct processing regarding aspects such as procedure, gender equality and assessment of qualifications. Support and support tools are to be used in the same way, to secure openness and transparency in recruitment.</p> <p>The <i>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University</i> (STYR 2019/1076, principle 2 and 6) states that all recruitment processes needs to be developed so they take account of principles and rules on equal treatment, objectivity and transparency, and ensure that recruitments, appointments and promotions are free from discrimination. <i>The Action plan for internationalisation</i> (SAMV 2018/444) also emphasises the importance of advertising vacancies internationally.</p>		<p>English.</p> <p>5.3 Templates and support tools in Swedish and English for recruitment managers and administrators on the internal website.</p> <p>Target: Effective and high-quality recruitment processes in all research appointments. Increased knowledge in recruitment for all staff involved.</p>	
Remarks			
<p>5.1: A routine is in place for how the Appointment Rules are updated and by whom, as well as for follow-up.</p> <p>5.2 and 5.3: Recruitment process for researchers involved in teaching: clarified and published internally and externally, in Swedish and English. Includes support material for a professional recruitment process.</p>			
Action 6	GAP Principle(s)	Current Status	Responsible Unit
		Completed	Human Resources
<p>Clarify the on-boarding process and develop relevant material.</p> <p>The Gap analysis has identified a need for a common introduction process for new employees in order to ensure good support for new staff and those managing the introduction of new staff.</p> <p>There is a need for an on-boarding process for international staff that includes relocation, which is one of the goals in the <i>Action plan for internationalisation</i> (SAMV 2018/444). The <i>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University</i> (STYR 2019/1076, principle 5 and 7) emphasises the importance of developing the introduction of new staff,</p>	24. Working conditions	<p>Indicator(s) / Target(s)</p> <p>Indicators: 6.1 On-boarding process produced for incoming international staff 6.2 Checklists produced regarding introduction of newly employed staff. 6.3 Welcome package for incoming international staff is available.</p> <p>Target: Ensuring a new employee is prepared to contribute early and effectively in his/her new role and increasing the employee's comfort level in the workplace.</p>	<p>Timing (at least by year's quarter/semester)</p> <p>Completed</p>
Remarks			
6.1 Onboarding process, which includes relocation, has been produced for incoming international staff.			

<p>particularly international staff, in order for Lund University to develop as an international higher education institution.</p> <p>In the plan for the Research Programmes Board (STYR 2019/2123), a university-wide introductory material for newly admitted doctoral students will be produced.</p>		<p>6.2 Checklist has been produced regarding the introduction of newly employed staff. The checklist will have a general approach and guide managers on how to tailor the introduction to specific employees.</p> <p>6.3 Welcome package for incoming international staff has been produced and will be published on the University webpages. It will also be available in printed format to be handed out on Welcome Days etc.</p>	
<p>Action 7</p>	<p>GAP Principle(s)</p>	<p>Current Status</p>	<p>Responsible Unit</p>
<p>Improve continuing professional development for certain roles</p> <p>There is a large range of options for professional development at Lund University. There is need for improvement in certain areas such as recruitment, discrimination/gender equality and courses for teaching and learning in higher education. Another focus area is supervisor training, including the definition of the supervisor role and the connection to the designated time available for supervision.</p> <p>The <i>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University</i> (STYR 2019/1076, principle 2) highlights the need for professional development in areas such as recruitment.</p>	<p>14. Selection 27. Gender balance 38. Continuing professional development 39. Access to research training and continuous development</p> <p>OTM-R checklist: 3</p>	<p>Indicator(s) / Target(s)</p> <p>Indicators:</p> <p>7.1 Introduction course for new members of appointments boards is produced and implemented. 7.2 Procedures for who is to pay for courses and which accounts are to bear the cost for supervision are to be drawn up. 7.3 Mapping of the need for courses in the English language. 7.4 Mapping of the need for more frequent courses in teaching and learning in higher education in English. 7.5 Completed review of supervisor training and the supervisor role, also in relation to the designated time and in relation to the role as line managers. Support material has been produced.</p>	<p>Timing (at least by year's quarter/semester)</p> <p>7.1 Q2 2021 7.2 Q4 2022 7.3 Q4 2022 7.4 Q4 2022 7.5 Q4 2022</p>
		<p>Remarks</p>	
		<p>7.1: The introduction course for appointments boards has been produced and implemented with a focus on laws and regulations, to ensure the correct and fair recruitment of researchers involved in teaching. 7.2: Focus on finance for courses in teaching and learning in higher education. The cost for supervision is handled together with 7.5. 7.3: Document has been produced.</p>	

		7.4: Mapping has been done. 7.5 Document has been produced.	
Action 8	GAP Principle(s)	Current Status	Responsible Unit
		Completed	Human Resources
Promote and re-new existing career development opportunities and further develop career concepts and support	28. Career development 30. Access to career advice	Indicator(s) / Target(s)	Timing (at least by year's quarter/semester)
<p>Lund University offers career development guides in English for doctoral students and for staff in postdoctoral positions. However, there is a need for career development initiatives for other target groups as well along with emphasis on organising support for all researchers. The following areas within the action frame must be addressed:</p> <ul style="list-style-type: none"> · Support available for all academic staff and researchers · Concept/programme for R2-R3 in English · Mentor programmes for different target groups · Illustrate career opportunities "outside" academia · Training initiatives in research communication. See action 3. <p>The <i>Policy on employment and good and clear career paths for teaching staff and researchers at Lund University</i> (STYR 2019/1076) principle 3 and 5) mentions the need to develop clear support for professional and career development for associate senior lecturers, e.g. through professional development plans.</p>		<p>Indicators:</p> <p>8.1 Career concept for R2- R3 in English is produced.</p> <p>8.2 Completed inquiry into possibilities to create a mentor programme for different target groups – for participants in career development programmes and for international researchers.</p> <p>8.3 Produce material that identifies existing (and new) external collaboration partners and external stakeholders.</p> <p>8.4 Highlight jobs which can be applied for with a doctoral degree.</p> <p>8.5 Completed inquiry into possibilities to create internships in companies/public authorities for R1 and R2.</p> <p>8.6 A target group[1]adapted guide has been produced in which funding is linked to career development.</p> <p>8.7 Proposal for a changed organisation for career support within LU is produced.</p> <p>Target:</p> <p>In order to attract, retain and develop employees, Lund University needs to continue the work with career development opportunities in English for all researchers, within and outside of academia.</p>	<p>8.1: Q2 2021 Proposal Q4 2022 Communicated</p> <p>8.2 Q3 2022</p> <p>8.3 Q4 2022</p> <p>8.4 Q4 2022</p> <p>8.5 Q4 2022</p> <p>8.6 Q4 2021</p> <p>8.7 Q4 2021</p>

		Remarks	
		<p>8.1: A career concept for staff in senior postdoctoral positions has been produced.</p> <p>8.2: Completed inquiry into possibilities to create mentor programmes for different target groups. In addition, a concept based on industry-academia mobility and individual competence development has been produced.</p> <p>8.3: Information on external collaboration partners and external stakeholders has been compiled. There is information about strategic partnerships on the University web and for researchers there is information in Lund University's research portal.</p> <p>8.4: Jobs outside academia that can be applied for with a doctoral degree are highlighted and published on the University web.</p> <p>8.5: Completed inquiry into internship possibilities in companies/public authorities for early-career researchers. Benchmarking of Karolinska Institute shows large potential for further development at Lund University.</p> <p>8.6: A target group-adapted guide has been produced in which funding is linked to careers. The guide is made available on the University web.</p> <p>8.7: Proposal for a changed organisation for career support.</p>	
Action 9	GAP Principle(s)	Current Status	Responsible Unit
		New	Human Resources
Continue to clarify career paths and work more strategically on recruitment and talent management at Lund University.	22 Recognition of the profession 25 Stability and permanence of employment 33 Teaching	Indicator(s) / Target(s)	Timing (at least by year's quarter/semester)
		<p>Indicators:</p> <ul style="list-style-type: none"> Develop and implement university-wide concepts and support for sustainable strategic recruitment and talent management. Implement strategic recruitment using talent management plans. <p>Target: Established and well-planned talent management and processes.</p>	Q4 2024
		Remarks	

Action 10	GAP Principle(s)	Current Status	Responsible Unit
Develop and provide support to the faculties in their recruitment work (including promotion).	22 Recognition of the profession 32 Co-authorship 33 Teaching	New	Human Resources
		Indicator(s) / Target(s)	Timing (at least by year's quarter/semester)
		Indicators: <ul style="list-style-type: none"> • Establish processes and routines to ensure good quality (including gender equality and equal opportunities) in recruitment. • Establish forums together with the appointment boards for increased knowledge exchange and coordination. <p>Target: Effective and high-quality recruitment processes in all research appointments.</p>	Q3 2024
		Remarks	
Action 11	GAP Principle(s)	Current Status	Responsible Unit
Merit and competence linked to education, research, collaboration, leadership skills and the ability to contribute to a good working and learning environment are all factors that should be weighted and assessed in different ways.	11 Evaluation/ appraisal systems 16 Judging merit (Code) 17 Variations in the chronological order of CVs (Code) 18	New	University management
		Indicator(s) / Target(s)	Timing (at least by year's quarter/semester)
Indicators: <ul style="list-style-type: none"> • Give suggestions on which qualifications in education, research, collaboration and leadership should be employed to assess the merits of teachers and researchers and how such an assessment is best 	Q4 2024		

	<p>Recognition of mobility experience (Code) 19</p> <p>Recognition of qualifications (Code) 29</p> <p>Value of mobility 32</p> <p>Co-authorship 33</p> <p>Teaching 35</p> <p>Participation in decision-making bodies</p>	<p>performed.</p> <ul style="list-style-type: none"> • Provide proposals on how assessment and evaluation of merit and skills can take place without risk of discrimination and where equal opportunities are considered. • Produce support material for the appointment boards. <p>Target: merits and competence are assessed transparently and appropriately.</p>	
		Remarks	
Action 12	GAP Principle(s)	Current Status	Responsible Unit
		New	Medical Ethics
The aim is to increase awareness and knowledge of research ethics and how it is regulated, while promoting an ethical approach on both the individual and organisation levels at Lund University.	2. Ethical principles	Indicator(s) / Target(s)	Timing (at least by year's quarter/semester)
		<p>Indicators:</p> <ul style="list-style-type: none"> • Evaluate and further develop the web-based course in research ethics and research ethics regulation that is being developed in HR Excellence for Research's first action plan. Further development can take place through an in-depth study in certain research ethics areas or for certain specific functions/roles at the 	Q3 2025

		University.	
		Remarks	
Action 13	GAP Principle(s)	Current Status	Responsible Unit
		New	Research, Collaboration and Innovation
Make it easier for employees at Lund University (especially researchers and research administrators) to gain access to relevant information about the laws, regulations, policies and guidelines that regulate and affect their research.	1. Research freedom 2. Ethical principles , 3 Professional responsibility 4 Professional attitude 7 Good practice in research 34 Complain/ appeals	Indicator(s) / Target(s) Indicators: - Evaluate the web portal for good research practice and legal compliance. - Further develop the web portal and the way it is used by researchers and research administrators. - Establish a network of internal experts to ensure collaboration and exchange of information. Target: To present comprehensive and easily accessible information on research compliance with the aim to increase knowledge and compliance.	Timing (at least by year's quarter/semester) Q2 2024
		Remarks	
		No remarks	
Action 14	GAP Principle(s)	Current Status	Responsible Unit
		New	Research Programmes Board
In 2021 a decision was made by the vice-chancellor to establish a university wide network group with the tasks to discuss and	36 Relation with supervisors 40	Indicator(s) / Target(s) • Establish network group	Timing (at least by year's quarter/semester) Q1 2024

create new ways to create a sustain quality development regarding supervision of third cycle students and training for present and coming supervisors (STYR 2021/2474).	Supervision	<ul style="list-style-type: none"> Analyse of the present state regarding supervision and problem formulations for new suggestions. Hold symposium on supervision third cycle education Evaluation of results. 	
		Remarks	
		No remarks	

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 website *:

URL: <https://www.lunduniversity.lu.se/about-university/work-lund-university/hr-excellence-research-award>

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 of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles

The University filled in the OTM-R checklist during the initial phase and the parts of the OTM-R checklist that was marked *with +/- Yes, substantially* or *-/+ Yes, partially* has been addressed in action 5 and action 7. Below is also a more detailed progress report of the implementation.

The OTM-R policy of Lund University (called Lund University Appointment Rules) and the national legislation and the guidelines and procedures of the University work well. Even so, the ambition is to further develop recruitment. The Vice-Chancellor has decided to give a special assignment to the HR Division to further develop and provide comprehensive and structured support to the faculties in their recruitment work, in the faculties' work to implement the policy regarding employment and good career paths and in the work of defining and preparing competence supply plans. The HR Division must ensure that the work which takes place within the framework of HR Excellence is utilised, developed, and implemented. In addition, the HR Division has the task of keeping the employment rules up to date, maintaining a common approach regarding forms of employment and workflow when recruiting teaching staff at Lund University, and proposing a revision of the employment rules when deemed appropriate. The newly produced introduction course for appointments boards also stresses the importance of information and communication with the candidate in the recruitment process.

The Vice-Chancellor intends to instigate a special assignment with the aim of further clarifying the importance of a wide range of different competencies being factored in when merits are assessed and to produce support for the academic appointments boards in the assessment work. Merits and competence linked to education, research, collaboration, leadership skills and the ability to contribute to a good work and learning environment are all factors that should be considered and assessed in different ways. Pedagogical qualifications and pedagogical competence development are connected. Pedagogical competence must be constantly developed, adapted and rewarded, and the University must coordinate this work to a greater extent. The Vice-Chancellor intends to initiate a special assignment to prepare a proposal for how a cohesive system for pedagogical education and competence development can be strengthened, developed and built up.

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.

URL: <https://www.lunduniversity.lu.se/about-university/work-lund-university/hr-excellence-research-award>

4. Implementation

General overview of the expected overall implementation process of the action plan: (max. 1000 words)

Lund University has chosen to work on the implementation of the action plan in line with the University's project model, see the following link: ([Project model](#)). A project manager was appointed through the project office, which provides support for projects. The project office deals with projects for which the Vice-Chancellor, the University Director, the Education Board or the Research Board have taken decisions on implementation. Those projects are defined as university-wide projects.

The action plan consists of 8 actions (with a total of 26 indicators/targets) and all actions (except Action 7, which was dealt with separately) were run as subprojects and a subproject manager was appointed for planning, organising and directing the completion of specific tasks while ensuring the subprojects were on time, on budget, and within scope. All subprojects were also connected to a University line organisation to ensure long-term commitment. Communication is a very important part of the implementation process, and a new web editor was employed. The web editor helped to ensure that all results were easily accessible and easy to find, and also helped to facilitate communication for this very decentralised origination.

The project had an overall project plan and all subprojects made their own project plans to reflect their objectives. This was also a way to make sure that the scope was clear to the stakeholders, set measurable goals for subprojects and served as the foundation for project transparency. The subprojects formed project groups with staff from different parts of the University with the relevant knowledge and experience to be able to reach their targets. A half-time review was also performed to make sure that the project was delivering as planned. The subprojects formed reference groups, which received information about the progress of the project and had the opportunity to give their

views on the results.

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

How have you prepared for the internal review? *

Detailed description and duly justification (max 500 words)

As stated in the application, the steering committee was responsible for the self-assessment after 24 months. The project manager coordinated the work and the final version was approved by the steering committee. It was also sent to Vice-Chancellor for approval.

The self-evaluation includes input from people involved in the project as well as people outside the project. During the project, the large RQ20 evaluation was also completed. RQ20 (Research Quality Evaluation 2020), the major research quality evaluation at Lund University, was published in March 2021 and it has been of great importance. With more than 4 700 members of staff who voiced their opinion on topics like working conditions and recruitment, it also acted as the suggested survey among research staff. There were also 37 external panels and about 220 advisors from around the world in order to delve into, unbox and enhance the future of research quality at Lund University. The results of RQ20 have been extensively discussed at the faculties and by the University Management. Based on these discussions, the Vice-Chancellor decided in June 2021 on 5 prioritised issues for the entire University to work on. Three themes for improvement stand out in the subject panel reports: recruitment, leadership and organisation. All these themes are crucial both for HRS4R and Lund University.

The extensive RQ20 report, at more than 800 pages, has also acted as a tool for reviewing principles addressed as "almost but not fully implemented", trying to evaluate if they are at the same level of development and which ones to focus on in the next action plan. The Research Board was tasked by the Vice-Chancellor to organise an annual follow-up and reflection on the implementation of RQ20 throughout the University.

The proposal for new actions for the next 3-year review cycle was sent out to all eight faculties, all divisions and unions for transparency and for the opportunity to give feedback.

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

Detailed description and duly justification (max 500 words)

All the actions in the action plan involve our research community in different ways. It includes, for example, being part of the project group, participating in workshops, reference group meetings and interviews, or giving feedback on results.

The researchers at Lund University are also involved through their representatives in different boards and bodies throughout the University. For example, the Research Board, Research Programmes Board and other boards at central and faculty level.

Researchers, teaching staff and doctoral students have played an important part in the project *The workplace of the future – sustainable and hybrid*, and participated in several workshops. The purpose of the project is to identify and prioritise which areas Lund University needs to work on to be a sustainable and hybrid workplace and is part of the ambition to be an attractive employer.

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

Detailed description and duly justification (max 500 words)

There was a change of both University Management and project manager in January 2021 and the new Vice-Chancellor appointed the steering committee. The steering committee consists of the Pro Vice-Chancellor for Research, Sustainability and Campus Development (chair), Pro Vice-Chancellor for Communication, Integrity and Character, Human Resources Director, Head of division at Research, Collaboration and Innovation, Communications Director, a representative from the union and one student union representative. Broad representation in the steering group was a great advantage in terms of providing support, guidance and oversight of project progress.

The HR Excellence in Research project reported to the steering committee twice prior to the change of University Management and nine times subsequently.

Since all actions in the action plan also have a responsible unit within the University organisation, both the project manager and the subproject managers have on various occasions reported project progress to, for example, the HR management team to align with line activities.

When it came to establishing the new action plan, the University Management was involved, since it was important to find synergies and reduce the risk of potential overlaps.

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

Detailed description and duly justification (max 500 words)

The strategic plan, which applies to the entire operation of Lund University, states that clear career paths shall be ensured and the University shall work strategically on recruitment. It also stresses that the organisation shall be characterised by a good work environment, gender equality and the ability to ensure equal opportunities for both students and staff.

The Code of Conduct for the Recruitment of Researchers, Directorate-General for Research (Office for Official Publications of the European Communities, Luxembourg 2005) and The European Charter for Researchers, Directorate-General for Research (Office for Official Publications of the European Communities, Luxembourg 2005), which were adopted by the European Commission, are both referred to in the policy, which is an addition to the OTM-R policy of Lund University (called Lund University Appointment Rules).

(The Lund University research strategy has not been updated in since 2017, it is due to be updated in 2022).

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

Detailed description and duly justification (max 500 words)

The University Management has shown that LU strives to be an attractive employer for researchers at all stages of their career, and that continuous improvement in this field is high on the University Management's agenda.

The Pro Vice-Chancellor for Research, Sustainability and Campus Development (chair), Pro Vice-Chancellor for Communication, Integrity and Character and the Human Resources Director will all be part of the next steering committee and ensure the connection with University Management.

The stakeholders can follow progress through the systematic planning and monitoring process.

How are you monitoring progress (timeline)? *

Detailed description and duly justification (max 500 words)

The next 3-year cycle will also be run as a project, with a project manager and steering committee. Progress is being monitored through the University's project model, see link above. The project will have milestones to make sure that it is progressing well and is in line with the plan. The project manager will document progress achieved by the responsible units according to the indicators/targets in the action plan. This will be reported to the steering committee.

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

Detailed description and duly justification (max 500 words)

Progress is being monitored through the University's project model (also see information above).

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

Detailed description and duly justification (max 500 words)

We are ensuring a clear and transparent structure, so that the external reviewers can easily follow how the gaps are being closed by the different activities. Before the external review, Lund University will confirm that all relevant documents are accessible and translated into English.

The project group will go through the templates for the external assessment to determine compliance with all the questions. During the site visit there will also be a contact person for the external assessors who will be able to answer questions and help facilitate the review.

Additional remarks/comments about the proposed implementation process

Detailed description and duly justification (max 1,000 words)