

## Action Plan

Case number: 2022SE491924

Name Organisation under review: University of Gothenburg

Organisation's contact details: Box 100, 405 30 Göteborg, Sweden

## 1. Organisational Information

Please provide a limited number of 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 *	2 113
Of whom are international (i.e. foreign nationality) *	<i>There is no documentation</i>
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	<i>There is no documentation</i>
Of whom are women *	1 088
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	1 011
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	184
Of whom are stage R1 = in most organisations corresponding with doctoral level *	917
Total number of students (if relevant) *	55 907
Total number of staff (including management, administrative, teaching and research staff) *	6 035

  

<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	Year 2021 research income SEK 4,418 million
Annual organisational direct government funding (designated for research)	Year 2021 income from grants SEK 2,157 million
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	Year 2021 income from grants Research Council + EU: SEK 903 million
Annual funding from private, non-government sources, designated for research	Year 2021 income from grants. Other Swedish, other foreign + Swedish companies SEK 786 million

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

The University of Gothenburg (UGOT) is among the largest universities in Northern Europe (approx. 55,900 students and 6,600 employees). With its eight faculties and 38 departments, UGOT is the most wide-ranging and versatile university in Sweden. UGOT is an active international university engaged in collaborative projects and partnerships all over the world and actively participates in the public debate and interacts with the surrounding society through continuous dialogues and knowledge exchange, nationally and internationally. The University of Gothenburg is environmentally certified and works actively for sustainable development. With new knowledge and new perspectives, UGOT contributes to a better future.

## 2. Strengths and weaknesses of the current practice

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

### **Ethical and professional aspects \***

The Swedish legislation is strong regarding good practice in research, dissemination, exploitation of results and public engagement. As a state university and a government authority, the University of Gothenburg(UGOT) must relate to the state governance and follow the rules that the Swedish state sets for the sector. As a supplement to this, we have internal rules and policies about how to act within these areas.

[The Equality Ombudsman](#) is a government agency that works on behalf of the Swedish parliament and government to promote equal rights and opportunities and to combat discrimination. Non-discrimination is a very important issue for UGOT and there are several control documents regulating this, as shown in the GAP analysis.

In 2019 the quality assessment RED19 project focused on research and research environment. The purpose was to identify the conditions and strategies that promote high-quality research environment. The project results have contributed to the quality development of university research and serve as an important management tool for all departments at UGOT. The self-evaluation focused on themes such as leadership and strategies, academic culture and career structures.

The GAP analysis confirms strengths in research freedom, professional attitude, accountability and good practice in research, dissemination, exploitation of results, public engagement, non-discrimination and evaluation / evaluation systems.

Two gaps have been identified:

#### **GAP**

The awareness among academic staff of the updated Intellectual Property Rights (IPR)-policy needs to be raised. The number of courses (especially for managers) in English are few.

#### **Ongoing initiatives:**

Finish revision of the updated IPR policy and plan for its implementation. This includes offering information and training until research leaders, department representatives and faculty representatives in dialogues let us know that they are comfortable assuming that anyone who need this information can access it or will be informed by colleagues about it. This is followed-up in dialogues with faculties and departments, and the supply will be adjusted to the conclusion of this dialogue. It also includes offering regular (every semester) open seminars on the IPR policy, and to record those and make them fully on-demand accessible.

#### **Action needed:**

Perform an overview of courses in English, regarding both context and content.

**Recruitment and selection \***

As a government authority, the University of Gothenburg (UGOT) is subject to special legislation as well as general labour law. The most important legislation when it comes to recruitment is the Instrument of Government and the Public Employment Act, which stipulates that when making appointments only objective factors, such as service merits and competence shall be considered. Competence shall be the primary consideration. In addition, The Higher Education Ordinance stipulates a set of rules for the recruitment of teachers and doctoral students. This means that the Swedish legislation adhere to an Open, Transparent and Merit-based recruitment process. The legislation is supplemented with university strategies and policies.

All job advertisements must include relevant information such as job title, type of contract, duties, required competence, selection criteria, and closing date. Candidates are selected and evaluated in relation to the tasks and the eligibility/competence required for the employment. Open ended teaching positions that require research or artistic expertise must be prepared by the Academic Appointments Board at each faculty. Applicants that consider the employment decision incorrect may appeal to the Higher Education Appeals Board.

UGOT uses an E-recruitment tool, where candidates create an account to apply for a position. Standardized application forms are used to facilitate candidates to submit correct documentation and list relevant qualifications.

UGOT offers training and courses for all managers, HR-officers and other staff involved in the recruitment process. Relevant policy documents such as the Appointment procedure for teachers as well as a flow chart are available at the Staff portal. An internal guide is under development. All departments at UGOT have an appointed HR officer to support the head of department in HR matters.

UGOT is a EURAXESS Centre. The unit Welcome Services offers information and assistance to international researchers, faculty and staff in matters concerning the arrival to and the stay at the university.

The above shows that UGOT is compliant with the principles under Recruitment and Selection.

Two minor gaps have been identified:

**GAP**

Lack of internal guide for the recruitment process

Information about career paths for researchers needed

**Ongoing initiative:**

Internal guide for the recruitment process under development.

**Action needed:**

Add information about career paths to the university job portal.

**Working conditions \***

Swedish legislation sets the basis for a safe work environment and good working conditions.

The vision for the University of Gothenburg (UGOT) 2021-2030 – A university for the world, states the basis for the University's goals and strategic planning. One of the commitments of the vision is to develop as a coherent organisation, as well as an attractive place of work and study, in order to reinforce the quality and relevance of the education and research conducted at the University.

In addition, UGOT provides supportive documents to achieve the best possible working conditions. The staff portal includes extensive information on work environment and health, security, equal treatment as well as emergency information. Procedures and structures for handling conflicts, discrimination and harassment are also available.

Employees are covered by national collective agreements that ensures that researchers receive a contractual salary and equitable social security. Salaries are determined based on the requirements of the position and are reviewed once year. Doctoral students should be employed and have the same rights as all other staff.

Work and employment conditions are regulated in law and collective agreements and applies to fixed term as well as open-ended positions, including pension rights, holidays, and other benefits. The working conditions can be adapted to the individual's needs to combine family and work, children, and career. This includes flexible working hours, part-time working, and temporary parental benefits.

The Grants and Innovation Office and the International Centre both facilitate mobility and exchange for researchers as well as administrative staff. National legislation and collective agreements also give employees the opportunity to take leave of absence for different reasons, e.g., conduct research elsewhere for a limited period.

The HR unit coordinates general staff training on different subjects and tools. The unit for Pedagogical Development and Interactive Learning coordinates and conducts training of academic staff, e.g., on teaching skills and the use of digital resources. Teaching is part of the departmental duties for doctoral students to a maximum of 20 %.

The policy document, UGOT Rules of Procedure, establishes the overall organizational and decision-making structure, including responsibilities, tasks and administrative procedures, e.g., the participation of researchers in decision-making bodies.

Several gaps have been identified:

**GAP**

Lack of a document that describes terms, benefits and support for people residing, but not employed at the University of Gothenburg.

Lack of policy and strategy on career development services for academic staff.

A need for a coherent range of career development services in the form of support and systems for doctoral students, postdocs and junior researchers.

A need for information about skills development programme and career development services in connection with job opportunities on the university's job portal.

A need for a larger proportion of courses in English within the skills development programme.

A need for an update of the Intellectual Property Rights (IPR) policy.

**Ongoing initiatives:**

Finish revision of the updated IPR policy and plan for its implementation. This includes offering information and training until research leaders, department representatives and faculty representatives in dialogues let us know that they are comfortable assuming that anyone who need this information can access it or will be informed by colleagues about it. This is followed-up in dialogues with faculties and departments, and the supply will be adjusted to the conclusion of this dialogue. It also includes offering regular (every semester) open seminars on the IPR policy, and to record those and make them fully on-demand accessible.

**Action needed:**

Define terms, benefits and support for people residing, but not employed at the University of Gothenburg, to confirm that all researchers are offered appropriate research environment and working conditions. This information should be made available at the staff portal.

Design a policy and a strategy on career development services for researchers.

Define content and structure for career development services.

Provide information about skills development programme and career development services in connection with the university job portal.

Increase the range of courses in English within the skills development programme.

**Training and development \***

There is an extensive range of skills development courses and seminars for all employees at the University of Gothenburg, to ensure continuous development. The dialogue is an employee assessment for developing employees and the activity toward the university's operational goals. It is also an opportunity to develop consensus and cooperation, to strengthen the relationship between leaders and staff.

Doctoral students are entitled to supervision throughout the entire period of study according to the rules and regulations for third-cycle students at the University of Gothenburg. Two or more supervisors are appointed by the Head of Department before the start of the studies with the doctoral student's preferences taken into consideration. At least one of the supervisors must have completed the University's training in supervision of doctoral students or an equivalent programme at another higher education institution. A doctoral student has the right to change either the principal supervisor or assistant supervisor. The request does not need to be justified.

An individual study plan (ISP) approved by the Head of Department is required for each doctoral student. The ISP shall be revised in the ISP online system once per year or when necessary due to changes. The principal supervisor is responsible in consultation with the doctoral student and doctoral examiner.

Some gaps have been identified, also listed under Working conditions:

**GAP**

Lack of policy and strategy on career development services for all researchers.

A need for a coherent range of career development services in the form of support and systems for doctoral students, postdocs and junior researchers.

A need for a larger proportion of courses in English within the skills development programme.

**Actions needed:**

Design a policy and a strategy on career development services for researchers.

Define content and structure for career development services.

Increase the range of courses in English within the skills development programme.

### 3. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organization's Action Plan/HR Strategy dedicated webpage(s):  
<https://medarbetarportalen.gu.se/Project/current+projects/HR-Excellence-in-Research/>

Please fill in the list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis. The listed actions should be concise but detailed enough for the assessors to evaluate the level of ambition, engagement and the expected implementation process. The institution should strive to provide a detailed plan, not just an enumeration of actions.

**Note:** Choose one or more of the principles retrieved from the GAP Analysis.

#### Proposed ACTIONS

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##### Principles:

1. Research freedom     2. Ethical principles     3. Professional responsibility     4. Professional attitude     5. Contractual and legal obligations  
 6. Accountability     7. Good practice in research     8. Dissemination, exploitation of results     9. Public engagement  
 10. Non discrimination     11. Evaluation/ appraisal systems     12. Recruitment     13. Recruitment (Code)      
 14. Selection (Code)     15. Transparency (Code)  
 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)     21. Postdoctoral appointments (Code)     22. Recognition of the profession  
 23. Research environment     24. Working conditions     25. Stability and permanence of employment     26. Funding and salaries  
 27. Gender balance     28. Career development     29. Value of mobility     30. Access to career advice     31. Intellectual Property Rights  
 32. Co-authorship     33. Teaching     34. Complains/ appeals     35. Participation in decision-making bodies     36. Relation with supervisors  
 37. Supervision and managerial duties     38. Continuing Professional Development     39. Access to research training and continuous development  
 40. Supervision

Proposed Actions	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicators/Target(s)
<b>Ongoing initiative:</b> Finish revision of the updated IPR policy.	A need for an update of the IPR policy. 3, 5, 8, 31	Q4 2022	Grants and Innovation Office	The updated IPR policy published on the staff portal (steering documents)
<b>Ongoing initiative:</b> Plan for the implementation of the updated IPR policy.	The awareness among researchers of the new IPR policy needs to be raised. 3, 5, 8, 31	Q2 2023	Grants and Innovation Office	An FAQ document for implementation of the IPR policy published on the staff portal
<b>Action:</b> Perform an overview of courses for managers in English, regarding both context and content.	The number of courses (especially for managers) in English are few. 3	Q2 2024	HR unit	A scheme for potential courses in English for managers
<b>Ongoing initiative:</b> Internal guide for the recruitment process under development.	Lack of internal guide for the recruitment process. 13	Q2 2023	HR unit	An internal guide for the recruitment process published on the staff portal
<b>Action needed:</b> Add information about career paths to the university job portal.	Information about career paths for researchers needed. 13	Q2 2023	HR unit	Information about career paths for researchers published on the university job portal.
<b>Action needed:</b> Define terms, benefits and support for people residing, but not employed at the University of Gothenburg, to confirm that all researchers are offered appropriate research environment and working conditions. This information should	Lack of a document that describes terms, benefits and support for people residing, but not employed at the University of Gothenburg. 23, 24	Q4 2023	HR unit	Information about terms, benefits and support for people residing, but not employed at the University of Gothenburg, published on the staff portal



be made available at the staff portal.				
<b>Action needed:</b> Design a policy and a strategy on career development services for researchers.	Lack of policy and strategy on career development services for all researchers. 28, 30, 38, 39	Q4 2023	HR unit	Target: A policy and a strategy on career development services for researchers published on the staff portal (steering documents)  Indicators: - policy decided (Q2 2023) - strategy developed (Q4 2023)
<b>Action needed:</b> Define content and structure for career development services.	A need for a coherent range of career development services in the form of support and systems for doctoral students, postdocs and junior researchers. 28, 30, 38, 39	Q4 2024	HR unit	Target: A general career development programme for doctoral students, postdocs and junior researchers Indicators: - publish a webpage that presents ongoing career development initiatives (Q2 2023) - increased number of courses and activities (Q2 2024) - function for career advice established (Q4 2024)
<b>Action needed:</b> Provide information about skills development programme and career development services in connection with the	A need for information about skills development programme and career development services in connection with job opportunities on the university job portal. 28, 30	Q4 2024	HR unit	Information about skills development programme and career development services in connection with job opportunities on the

university job portal.				university job portal.  Indicators: - information about skills development programme on the university job portal. (Q4 2022) - information about career development services on the university job portal (Q4 2024)
<b>Action needed:</b> Increase the range of courses in English within the skills development programme.	A need for a larger proportion of courses in English within the skills development programme. 28, 30, 38, 39	Q3 2023	HR unit	Increased number of courses in English within the skills development programme
<b>Ongoing initiative:</b> Plan for the implementation of the updated IPR policy.	The awareness among researchers of the new IPR policy needs to be raised. 3, 5, 8, 31	Q2 2023	Grants and Innovation Office	Information and training on the IPR policy is provided to research leaders, department representatives and faculty representatives
<b>Ongoing initiative:</b> Plan for the implementation of the updated IPR policy.	The awareness among researchers of the new IPR policy needs to be raised. 3, 5, 8, 31	Q2 2023	Grants and Innovation Office	Regular (every semester) open seminars are offered on the IPR policy
<b>Ongoing initiative:</b> Plan for the implementation of the updated IPR policy.	The awareness among researchers of the new IPR policy needs to be raised. 3, 5, 8, 31	Q2 2023	Grants and Innovation Office	The open seminars on the IPR policy are recorded and made on-demand accessible

**Note:** Add as many actions as needed.

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan. (max. 1000 words) \*

As a government authority, the University of Gothenburg is subject to special legislation as well as general labour law. The most important legislation when it comes to recruitment is the Instrument of Government and the Public Employment Act which stipulates; when making appointments only objective factors, such as service merits and competence shall be considered. Competence shall be the primary consideration. In addition, the Employment Ordinance states that the university must inform about vacancies. The Higher Education Ordinance stipulates a set of rules for the recruitment of teachers and doctoral students. This means that the Swedish legislation adhere to an Open, Transparent and Merit-based recruitment process. The legislation is supplemented with university strategies and policies.

All job advertisements must include relevant information such as job title, type of contract, duties, required competence, selection criteria, and closing date. Candidates are selected and evaluated in relation to the tasks and the eligibility/competence required for the employment. Open ended teaching positions that require research or artistic expertise must be prepared by the Academic Appointments Board at each faculty. Applicants that consider the employment decision incorrect may appeal to the Higher Education Appeals Board.

UGOT uses an E-recruitment tool, where candidates create an account to apply for a position. Standardized application forms are used to facilitate candidates to submit correct documentation and list qualifications relevant for the post. The E-recruitment tool support the use of KBR (competence-based recruitment process).

UGOT offers training and courses for all managers, HR-officers and other staff involved in the recruitment process. Relevant policy documents such as the Appointment procedure for teachers as well as a flow chart are available at the Staff portal. All departments at UGOT have an appointed HR officers to support the Head of department in HR matters.

The above shows that UGOT is compliant with the with the principles of OTM. Two minor gaps have been identified which are addressed in the action plan.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL: <http://www.yoursite.com>

## 4. Implementation

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

The Vice-Chancellor will appoint an implementation committee, consisting of HR representatives, researchers from all career levels, e.g. doctoral students, post-doc researchers and research leaders.

The HR manager will appoint a representative of the HR unit who will lead the implementation committee. The implementation committee reports to the Deputy Vice-Chancellor for research and to the University Research Board.

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

### **How will the implementation committee and/or steering group regularly oversee progress?\***

The implementation committee will monitor ongoing work done by the appointed task forces. The progress will be followed at the University level through annual reporting to the University Research Board. Any deviations or changes to the action plan must be authorised by the Deputy Vice-Chancellor.

**How do you intend to involve the research community, your main stakeholders, in the implementation process?\***

The HR units responsible for each action will involve researchers, doctoral students, postdocs and teachers on various aspects of the ongoing implementation. They will also regularly contact faculties and departments to get feedback on the implementation process. For example, midterm-dialogues involving researchers and teachers will be held.

A central part of the implementation plan is to ensure the awareness of HRS4R within the whole organization. Hence the aim is to include processes and tasks in the university operational strategies and plans. Moreover, news on activities will be published on the staff portal and communicated to HR specialists and communicators at faculties and departments for dissemination to the researchers.

**How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.**

The HRS4R process and tasks will be integrated into existing operational strategies and plans. This will be ensured by the involvement of a Deputy-Vice-Chancellor and the implementation committee.

HRS4R activities leading to central procedures will be published on the web page for policies, rules and plans.

Information about HRS4R and the HR Award are published on the UGOT website. A separate section for HRS4R has been created at the web page Working at GU (<https://www.gu.se/en/work-at-the-university-of-göteborg/hr-excellence-in-research>), where documents related to the HRS4R process are published.

The HR Award logo will be used when advertising jobs.

<https://www.gu.se/en/work-at-the-university-of-göteborg/hr-excellence-in-research>

**How will you ensure that the proposed actions are implemented?\***

The HRS4R process and tasks will be integrated into existing operational strategies and plans, where all operations are followed up annually within the framework of ordinary operations.

Indicators are available to support the annual follow-up. The result will be updated in connection to the annual report.

The action plan focus on development of the skills development program and career development services. The supply of courses in English within the skills development program is followed up and revised annually, to meet the current demand of skills development. Those activities are well connected to the commitments in the University of Gothenburg vision of providing top-quality education and research as well as being an attractive place of work and study.

**How will you monitor progress (timeline)?\***

The monitoring process and follow-up take place within the framework of the University vision and the annual report.

The visions for planning and follow-up processes are intended to reinforce strategic work by integrating the vision, goals and strategies with the University's operating conditions. The aim is to create fit-for-purpose planning and follow-up processes that contribute to:

- providing a clearer overall picture through increased coordination between different perspectives and tools;
- clarifying roles, responsibilities and interaction between the various levels;
- sharpening the focus of long-term planning and follow-up based on strategies as a basis for joint dialogue; and
- streamlining the components of ongoing planning and follow-up work.

Three-year goals and strategies form the basis for planning and follow-up over a three-year period.

<https://medarbetarportalen.gu.se/Organisation/vision-2021-2030/planning-follow-up/>

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

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

The HRS4R process and tasks will be integrated into existing operational strategies and plans. All actions are followed up annually within the framework of ordinary operations, in dialogues with faculties and departments. The different actions will be adjusted according to conclusion of this dialogue.

Compliance with and indicators for the HRS4R action plan will also be followed up regularly by the implementation committee. Significant deviations will be discussed and appropriate measures taken in order to adjust the plan and complete the actions.

The action plan focus on development of the skills development program and career development services. The supply of courses in English within the skills development program is followed up and revised annually, to meet the current demand of skills development. Those activities are well connected to the commitments in the University of Gothenburg vision of providing top-quality education and research as well as being an attractive place of work and study.

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

No