TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: 2019SE450153

Name Organisation under review: Lund University, Lund, Sweden

Organisation's contact details: Gunilla Thylander, HR Department, Lund University
(gunilla.thylander@hr.lu.se), +46 46 222 1503

SUBMISSION DATE: JUNE 18TH, 2020
DATE ENDORSEMENT CHARTER AND CODE: The Vice-Chancellor signed the letter of endorsement on the 26 of September 2019.

PROCESS

The HRS4R project at Lund University (LU) was initiated by Vice-Chancellor Torbjörn von Schantz in January 2019, assigning Pro Vice-Chancellor for Research Stacey Sörensen as project owner. A Steering group was appointed and this group empowered a Project Group to carry out the practical tasks of the process. A project leader (HR[1]) was recruited full time. LU has worked together with other Swedish universities during the whole process under the auspices of the Swedish Association for Higher Education (SUHF), including SUHFs support meetings 2018 and 2019. Several universities within the Swedish Euraxess network are engaged in the HRS4R process and we communicate experiences with each other. The Euraxess webinars (January 29th 2019, December 4th 2019) were also valuable.

Lund University is an all comprehensive university with nine faculties, 64 departments, a large research facility Max IV, the International Institute for Industrial Environmental Economics, and several interdisciplinary centres. During 2019, the project leader visited not only the university management, but also all faculty boards presenting and discussing the project. Other boards, committees and networks were also consulted (see table below) to ensure input from numerous levels within the university. In May 2019, a project blog in Swedish and in English was launched, which has been updated regularly with every step of the process. In order to get to the heart of the organisation, individual face-to-face interviews (each 1-hour long) with 81 researchers, R1-R4[2], was held during autumn 2019. The individuals were not directed in any way and all shared thoughts about the 40 principles, the GAP-analysis and how they perceived LU in this context. The action plan is a direct result from the information gathered during these interviews.

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[1] The term 'Human Resources' is used in the largest possible sense, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ‚level', type of contract etc.

[2] For a description of R1-R4, see

https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors

Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

Name	Position	Management line/ Department
Stacey Sörensen-Ristinmaa	Pro Vice-Chancellor	University Management
Ann Silbersky Isaksson	HR director	HR Department
Jesper Falkheimer	Head of division	Research, Collaboration and Innovation
Gunilla Thylander	Project leader	HR Department
Anneli Wiklander	Project participant	Research, Collaboration and Innovation
Åsa Thormählen	Project participant	HR Department, international office
Susanne Kristensson	University Director	University Management
Torbjörn von Schantz	Vice-Chancellor	University Management

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4[3], as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.

Provide information on how the above groups were involved in the GAP-analysis:

*Stakeholder group	*Consultation format	Outcomes
R1-R4 (in total 81): (R1:12, R2:23, R3:28, R4: 18) (Male 35/Female 46)	Interviews	Gathering of information giving input to the action plan.
University Management team includes Vice-Chancellor, Deputy Vice-Chancellor, Pro	Meeting February 7th 2019, March 28th 2019, April	Ensure knowledge and commitment to the project

Vice-Chancellors, University director and Senior Advisor	2nd 2020 and April 23rd 2020.	
Faculty of Economics and Management	Meeting May 16th 2019	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
Faculty of Engineering	Meeting May 17th 2019	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
Faculty of Science	Meeting May 21st 2019	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
Faculty of Fine and Performing Arts	Meeting June 4th 2019	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
Faculty of Medicine	Meeting June 13th 2019	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
Faculty of Humanities and Theology	Meeting September 10th 2019	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
Faculty of Social Sciences	Meeting October 3rd 2019	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
Unions	Meetings April 2nd 2019, May 17th 2019, August 26th 2019, January 20th 2020, March 4th 2020,	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.

	March 25th 2020 and May 19th 2020.	
Lund doctoral students' union	Meetings September 12th 2019, February 6th 2020 and April 1st 2020.	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
University Administration Management includes the University Director, Heads of Departments and Heads of Faculty Offices.	Meeting April 5th 2019 and May 15th 2020.	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
University HR Management includes HR managers for the Faculties	Meeting March 14th 2019 and April 29th 2020.	Information about the HRS4R project. Input on the GAP analysis and suggestions to process and actions.
Lund University Boards of Appointments working with recruitment of researchers involved in teaching	Meeting April 10th 2019, May 6th 2019 and December 10th 2020.	Information about the HRS4R project. Input on the OTM-R checklist and suggestions to process and actions.
Central HR Department	Meeting June 3rd 2019, February 3rd 2020 and June 1st 2020.	Information about the HRS4R project.

Board of Appointments, Faculty of Science	Meeting January 17th 2020	Input on the OTM-R checklist and suggestions to process and actions.
Board of Appointments, Faculty of Economics and Management	Meeting February 10th 2020	Input on the OTM-R checklist and suggestions to process and actions.
Board of Appointments, Faculty of Law	Meeting January 30th 2020	Input on the OTM-R checklist and suggestions to process and actions.
Board of Appointments, Faculty of Engineering	Meeting February 12th 2020	Input on the OTM-R checklist and suggestions to process and actions.
University Library management	Meeting August 30th 2019	Information about the HRS4R project.
RQ20 Research Quality 2020 (the new major research quality evaluation at Lund University)	Meetings September 9th 2019, November 18th 2019, March 9th 2020 and planned meetings during autumn 2020.	Information about the HRS4R project and the connecting with the RQ20-project.
Tellus A three-year research-based project aimed at strengthening the preventive work against sexual	Meeting October 21st 2019, April 16th 2020	Information about the HRS4R project and the connecting with the Tellus project.

harassment at Lund University		
EUGLOH European Universities is a programme initiated and predominantly funded by the EU that is to strengthen the strategic partnerships between universities	Meeting December 17th 2019	Information about the HRS4R project and the connecting with the EOGLOH-project.
University-wide initiative for gender equality and equal opportunities	Meeting March 10th 2020	Information about the HRS4R project and the connecting with the project University-wide initiative for gender equality and equal opportunities.
SUHF The Association of Swedish Higher Education Institutions	September 6th 2018, October 1st 2018, November 15th 2018, December 12th 2018, and January 17th 2019.	Series of seminars with other Swedish Universities to start up the project.
Experts in Research Ethics, Research Misconduct, Legal, Collaborations, Open Science, Doctoral Education, , Research Evaluation, Labour Law	During the whole project period	Several meetings and contacts

Appointment of a Committee overseeing the process:

The HRS4R project at Lund University (LU) was initiated by Vice-Chancellor Torbjörn von Schantz in January 2019, assigning Pro Vice-Chancellor for Research Stacey Sörensen as project owner. A Steering group was appointed consisting of the same Pro Vice-Chancellor, the HR director and Head of Research, Collaboration and Innovation. The steering group was deliberately small in order to align to the project's needs. The project leader met with the steering group once a month with clear agendas, addressing both clogs and successes within the project. The steering group oversaw every milestone during the process, and were active when identifying and informing stakeholders within the university. The steering group has also been involved in formulating the next steps for LU in terms of future implementation. The steering group put the final changes on the action plan, OTM-R-list and other relevant documents subject for the final decision by the Vice Chancellor.

Appointment of the Working Group responsible for the implementation of the HRS4R process:

The steering group appointed a Project Group to carry out the practical tasks of the process, consisting of a Project leader and project participants. The project leader is working full time on the project from 2019-01-01 until application is sent in. The first project participant was active from the start, the other came on board in June 2019. A small dedicated project group has been essential for the process until now. The project group was responsible for the internal connections with other ongoing projects/strategic actions (see process above), for keeping the blog up to date and communicating the process in different fora. The project group conducted the interviews, compiled all the data and prepared documents for the steering group. However, when working with the action plan in future, several other key functions must be involved. This endeavour is not solely an HR project, and will involve many different actors within the LU-organisation. Therefore, the steering committee has suggested on an implementation organisation, which is going to work in accordance with the LU-project model. A coordinator from HR Department will be appointed to coordinate efforts and lead the work with the self-evaluation. Sufficient resources are being identified in the budget for 2021 and 2022.