HR Excellence in Research

Internal Review

Internal Review

Case number

2021SE601702

Name Organisation under review

SLU (Swedish University of Agricultural Sciences)

Organisation's contact details

International OfficeP.O. 7070SE-750 07, Uppsala, Sweden

Submission date to the European Commission

18/06/2024

1. Organisational Information

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	1720
Of whom are international (i.e. foreign nationality) *	0
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	0
Of whom are women *	862
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	1123
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	221
Of whom are stage R1 = in most organisations corresponding with doctoral level *	376
Total number of students (if relevant) *	4207
Total number of staff (including management, administrative, teaching and research staff) *	3223

RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	222000000
Annual organisational direct government funding (designated for research)	112000000

RESEARCH FUNDING (figures for most recent fiscal year)	€
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	89000000
Annual funding from private, non-government sources, designated for research	14000000

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

SLU plays a key role in development for sustainable life, based on science and education. SLU conducts education, research, environmental monitoring and assessment in collaboration with society. Through our focus on interaction between humans, animals, ecosystems and the responsible use of natural resources, we contribute to sustainable societal development and good living conditions on earth. SLU is a research intensive university, 70% of turnover goes to research and doctoral education. Our scientist contribute to >1600 scientific articles yearly, of which > 75 % are co-published with universities in other countries, and are among the most cited within prioritised scientific fields.

2. Strengths and weaknesses of the current practice

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

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

Ethical and professional aspects* ⌄

Strengths and Weaknesses (Initial Phase)

SLU cares about academic freedom and integrity and the organisation's common fundamental values provide guidance in everyday life, by describing what the starting point for your activity is, for contacts with the outside world, and how we behave towards each other and others. All SLU employees are included in these values. The fundamental values are:

- scientific approach
- creativity
- openness
- responsibility.

In addition to these four fundamental values, there are six fundamental principles for national authorities SLU has to follow:

- democracy
- legality
- objectivity, factuality and equal treatment
- free formation of opinions
- respect
- efficiency and service.

Strengths: The gap-analysis reveals that SLU's strength lies in the fact that all aspects mentioned under this thematic heading are regarded as fully implemented.

Weaknesses: A general development area is to translate all relevant documents into English in order to move towards a situation where bilingual communication contributes to better integration of all staff and students in faculty activities.

Regarding the thematic heading Ethical and professional aspects, SLU has currently no central board responsible for handling issues of misuse of ethical practices or Codes of Ethics.

Strengths and Weaknesses (Interim Assessment)

SLU cares about academic freedom and integrity and the organisation's common fundamental values provide guidance in everyday life, by describing what the starting point for your activity is, for contacts with the outside world, and how we behave towards each other and others. All SLU employees are included in these values. The fundamental values are:

- scientific approach
- creativity
- openness
- responsibility.

In addition to these four fundamental values, there are six fundamental principles for national authorities SLU has to follow:

- democracy
- legality
- objectivity, factuality and equal treatment
- free formation of opinions
- respect
- efficiency and service.

Strengths:

SLU's strength lies in the fact that all aspects mentioned under this thematic heading are regarded as fully implemented. This has become clear in both the gap analysis in our initial phase, and in our work with implementing the action plan.

All new employees at SLU are imformed about, and requested to attend, web training for government employees. This training "Vårt uppdrag" (Our mission) aims to give employees at universities and university collegues basic knowledge of what it means to be a government employee. The web-based course has been jointly produced by the universities of Gothenburg, Lund and Uppsala.

At SLU we have also established a central Board for Good Research Practice since January 2023. The board has one member and one deputy from each faculty, plus one external member. Members are appointed for three years. The board is chaired by Pro Vice-Chancellor of International Relations.

On SLU external web we have information called The Swedish way, with information about living and working in sweden, Swedish culture etc. Link The Swedish Way | Externwebben (slu.se) (https://www.slu.se/en/education/life-at-slu/the-swedish-way/) https://www.slu.se/en/education/life-at-slu/the-swedish-way/

SLU is also Uppsala a part of a collaboration called International Hub. This is an initiative designed to attract and welcome skilled internationals to our county, and help them to thrive here long-term. It is a collaboration between the business community, academia, our municipality and county and is run within the framework of a regional platform. Start - Uppsala International Hub

(https://internationalhub.uppsala.se/) https://internationalhub.uppsala.se/

Weaknesses:

A general development area is still to translate relevant webpages and documents into English in order to move towards a situation where bilingual communication contributes to better integration of all staff and students in faculty activities. However we have changed our objective here since we have realized that some of our categories of employees have to be fluent in the Swedish language, due to regulations at SLU and for Swedish authorities. For example this complies to managers with delegations regulated in the delegations of authority. Therefor all webpages and documents does not have to be translated into English. https://internt.slu.se/en/organisation--styrning/decisions-governing-docs/delegations-of-authority/

Remarks (max 500 words)

Recruitment and selection* ⌄

Strengths and Weaknesses (Initial Phase)

Strengths: The gap-analysis reveals that SLU's current strength lies in all aspects mentioned under this thematic heading as they are regarded as fully implemented (except for the aspect Recognition of mobility experience). The transition to an e-recruitment tool has increased aspects of legal certainty during the recruitment process.

Over the last years, SLU has implemented a number of activities with focus on equal recruitment. These activities are expected to lead to a more even gender distribution among professors. SLU's strategy 2021-2025 highlights that active and systematic work to promote a good working environment, gender equality and equal opportunities are important elements to increase SLU's attractiveness. The harmonization of procedures and processes has created equal opportunities across SLU.

Weaknesses: Even if the goal of 52 % female professors, as set by the government for 2021, might not be reached, continuous work aims at a gender balance within a 40-60 % goal across all job categories. With 32 % female professors, SLU mirrors the national statistics for all HEI. SLU's Academic Appointments Boards would benefit from engaging the Division of Human Resources to a larger extent in the recruitment and selection process of teachers and other research staff. SLU also needs to develop common routines for the recruitment of research staff except teachers. The recruitment of research staff is handled at department level and make up the majority of recruitments. By engaging the Division of Human Resources, Academic Appointments Boards and departments would complement their expertise in scientific and pedagogical assessment with valuable expertise on recruitment and the assessment of soft values such as leadership and interpersonal skills.

SLU should enhance the use of social media platforms for recruitment.

SLU is not regularly including collaboration skills as a judging merit.

SLU is currently not recognizing mobility as a judging merit.

SLU's information to early career researchers on aspects such as employment, salary and social benefits is inadequate and not up to date.

Strengths and Weaknesses (Interim Assessment)

Strengths:

The Recognition of mobility experience is now included in the regulation for appointment procedures at SLU. The transition to an e-recruitment tool has increased aspects of legal certainty during the recruitment process.

Over the last years, SLU has implemented a number of activities with focus on equal recruitment. These activities are expected to lead to a more even gender distribution among professors. SLU's strategy 2021-2025 highlights that active and systematic work to promote a good working environment, gender equality and equal opportunities are important elements to increase SLU's attractiveness. The harmonization of procedures and processes has created equal opportunities across SLU.

Documents and webpages connected to the principles of OTM-R are not explicitly named OTM-R in our policy and webpages, but are included in the procedures and practices at SLU.

SLU's Academic Appointments Boards are now working with recruitment according to OTM-R. All appointment board members are trained in competence based recruitment process. The training includes training in equal rights. All other recruiting staff is offered training in the competence based recruitment process regularly. This has made obvious that the boards do not need to engage the Division of Human Resources in the actual recruitment and selection process, since they now have the competence and tools to do it themselves. The Division of Human Resources is more involved in supporting with general information, delivering the training in for instance the competence based recruitment process etc.

Weaknesses:

Even if the goal of 52 % female professors, as set by the government for 2021, might not be reached, continuous work aims at a gender balance within a 40-60 % goal across all job categories. With 33 % female professors, SLU mirrors the national statistics for all HEI.

All website and documents regarding recruitment are not translated to English yet.

Remarks (max 500 words)

Working conditions*

Strengths and Weaknesses (Initial Phase)

Strengths: The majority of all aspects mentioned under this thematic heading are regarded as fully implemented at SLU. SLU offers education in sustainable leadership in academia through the Division of Human Resources. A well-developed organization for safety officers secures safe working environment. SLU's strategy 2021-2025 focus area "One SLU" points out the work to promote gender equality and equal opportunities which helps to increase SLU's attractiveness as a university and employer.

Weaknesses: The strategy 2021-2025 outlines the importance of SLU being proactive in its systematic work aimed at preventing ill health and accidents, combatting discrimination, and promoting equal opportunities for students and employees. In these efforts, it is essential that SLU works against restrictive norms and power systems linked to the grounds of discrimination.

SLU's information available to early career researchers on aspects regarding career development is inadequate and hard to find. For doctoral students (R1), post-docs (R2) and researchers access to career advice is incoherent and often based on personal initiatives. Furthermore, there is no common policy that regulates co-authorship. Regarding value of mobility see Weaknesses under Recruitment and selection.

Strengths and Weaknesses (Interim Assessment)

Strengths:

The majority of all aspects mentioned under this thematic heading are regarded as fully implemented at SLU. SLU offers education in sustainable leadership in academia through the Division of Human Resources. A well-developed organization for safety officers secures safe working environment. SLU's strategy 2021-2025 focus area "One SLU" points out the work to promote gender equality and equal opportunities which helps to increase SLU's attractiveness as a university and employer.

SLU has a well developed organisation for the work environment, and this is according to Swedish work environment legislation. Through active health and safety work, SLU wants to create a stimulating work environment for all employees and students. A good work environment is a common concern for management, employees and students, and everyone has a responsibility to participate. The vice-chancellor, as head of a public authority, has overall responsibility for the work environment at SLU. At each department/division, the head of department or equivalent is responsible for the work environment. Each employee is expected to take an active part in the work environment processes and alert their superior of any shortcomings. The safety representatives represent the

employees, and their task is to monitor work environment issues. Information is available on the website and the division of Human Resources supports managers in their work. https://internt.slu.se/en/my-employment/working-environment-equal-opportunities/our-work-environment-efforts-in-brief/

Weaknesses:

The strategy 2021-2025 outlines the importance of SLU being proactive in its systematic work aimed at preventing ill health and accidents, combatting discrimination, and promoting equal opportunities for students and employees. In these efforts, it is essential that SLU works against restrictive norms and power systems linked to the grounds of discrimination.

After conducting interviews with postdocs, department heads, postdoc organisations etc we have seen that we still have to develop more accessible information to early career researchers, such as postdocs.

Remarks (max 500 words)

Training and development* ⌄

Strengths and Weaknesses (Initial Phase)

Strengths: SLU strategy 2021-2025 emphasizes the importance of providing internal learning opportunities which allow staff (and students) to share good examples, learn from each other and work together as "One SLU".

The gap-analysis demonstrates that SLU's current strength lies in all aspects mentioned under this thematic heading as they are regarded as fully implemented. SLU has since the external evaluation "Quality and Impact" in 2009 allocated specific resources to and conducted training in sustainable leadership in academia. Separate courses are offered in leadership and management, respectively. All staff can contact the Forum for career development at SLU (FOCUS) aiming at making better use of and develop the skills and resources that exist among SLU employees. However, aspects of an academic career are not covered and an action is therefore proposed to meet that gap.

Weaknesses: There is no structure for post-doc mentorship. Supervision and training depend on initiatives at departments or from senior researchers.

Strengths and Weaknesses (Interim Assessment)

Strengths:

SLU strategy 2021-2025 emphasizes the importance of providing internal learning opportunities which allow staff (and students) to share good examples, learn from each other and work together as "One SLU".

SLU's current strength lies in all aspects mentioned under this thematic heading as they are regarded as fully implemented. SLU has allocated specific resources to and conducted training in sustainable leadership in academia. Separate courses are offered in leadership and management, respectively. These training and courses are continuously evaluated and updated according to changes in demands and needs due to work life changes and competence gaps in the organisation. For instance demands on leadership have rapidly changed due to Covid-19, periods of quarantine/working from home and now a culture and work life containing hybrid working, remote working, hybrid meetings and so on has evolved. SLU adapts to this to meet the needs for a more flexible workplace were possible. Of course we have fields of research etc where this is not as possible, for example were lab work or working with animals is a large part of the work.

All staff can contact the Forum for career development at SLU (FOCUS) aiming at making better use of and develop the skills and resources that exist among SLU employees.

Weaknesses: Supervision and training depend on initiatives at departments or from senior researchers. After conducting interviews with postdocs, department heads, postdoc organisations etc we have seen that we need to develop more support for R2 researchers, in cooperation with the different actors organising postdocs outside the SLU organisation.

Remarks (max 500 words)

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

Our initial action plan included the fact that SLU needed to establish an ethics committee. This was highly prioritized, and is in place since January 2023, called The Board for Good Research Practice. The board has one member and one deputy from each faculty, plus one external member. Members are appointed for three years. The board is chaired by Pro Vice-Chancellor of International Relations.

One highly prioritised action was about translation of information and documents to English. Although it has become clear that not all documents and websites have to be in English, since some of the positions at SLU has to be filled by Swedish speaking persons due to national authorities legislation. Information specifically addressed to this staff can be solely in Swedish.

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)

The updated appointment procedure has changed the conditions with regard to the ranking of candidates and the academic appointments boards influence on the selection of candidates has increased due to this. Skills in leadership and administration are included in the selection process, as well as mobility. This also increases transparency, encourages mobility and makes SLU work more according to OTM-R.

Assessment in recruitment at SLU has changed to some extent, moving from quantitative evaluation methods to more qualitative evaluation factors. Thus we are closer to working according to COARA.

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

COARA, but as we understand it this will be included in the new charter and code.

We are this year applying for funding to hopefully engage in The European University of Life Sciences for Sustainability (EULS2) This will aim to be the leading academic actor in advancing the European and global transition towards sustainable agri-food systems. We think this may influence our action plan in the years coming, if we get the funding required.
EULS2 integrates nine universities specialized in the life sciences for sustainability into a single European university with a strong central structure, joint governance, and a common strategic direction. EULS2 has three pillars of activity:
1) Challenge-driven teaching and learning
2) Challenge-driven credentials
3) Challenge-driven science and innovation

3. Actions

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

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

Proposed ACTIONS

Action 1

	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Translate documents and websites only available in Swedish pointed out in gap analysis to English	(++) 1. Research freedom	Q4 2023	Vice-chancellors office	Documents and websites available in English
	(+/-) 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			

Proposed ACTIONS

	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
	(+/-) 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			

Proposed ACTIONS

	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
	(++) 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			

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 37. Supervision and managerial duties			
(++) 38. Continuing Professional Development			
(++) 39. Access to research training and continuous development			
(++) 40. Supervision			

Current Status	Remarks
IN PROGRESS	Some of our relevant documents and websites are now available in both Swedish and English. The work with translating continues. In dialogue with the academy we prioritize which documents and websites that need translation. Timing for completion of existing documents Q4 2025.

Proposed ACTIONS

Action 2

Have a motivated decision pro or con regarding the establishment of a central Ethics Board by vice-chancellor..

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 2. Ethical principles	Q4 2023	Vice-Chancellor	Vice-Chancellor's decision on ethics board and revised Delegation of Authority

Current Status	Remarks
COMPLETED	A central Board for Good Research Practice is established at SLU since January 2023. The board has one member and one deputy from each faculty, plus one external member. Members are appointed for three years. The board is chaired by the Pro Vice-Chancellor of International Relations at SLU.

Action 3

Revise the Staff policy Comment on consensus report (Action 3 is not motivated, which gap, why this action?): This action is mentioned under principle 3 and linked to the gap identified there.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 3. Professional responsibility	Q2 2023	HR	Staff policy is revised

Current Status	Remarks
IN PROGRESS	Staff policy is under revision. Timing altered to Q4 2024.

Proposed ACTIONS

Action 4

Launch of in-house training in competency based recruitment 4.1 All board members of the Academic Appointments Board (incl substitutes) 4.2 Academic Appointments Board members, including substitutes in the beginning of their mandate period (a new mandate period starts 2022-07-01) as well as faculty administrative officers 4.3 Heads of Department and recruiting managers 4.4 HR staff These actions are compliant with objectives expressed in the SLU strategy (SLU institutional plan) and gender mainstreaming action plan);	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
	(+/-) 13. Recruitment (Code)	4.1 Q3 2021 4.2 Q2 2022 4.3 Q2 2022 4.4 Q4 2021	HR	4.1 Number of board members who participated in the trainings (incl substitutes) 4.2 Number of board members (incl substitutes) who participated in the trainings 4.3 Number of Heads of Department and recruiting managers who participated in the trainings 4.4 Number of HR staff who participated in the trainings

Proposed ACTIONS

	Current Status	Remarks
	COMPLETED	We have implemented competency based recruitment throughout SLU, and are continously giving training in competency based recruitment. Number of academic board members who participated in the trainings are 17. Numbers of Head of Department and recruiting managers who participated in the trainings are 60. Number of HR staff who participated in the trainings are 22. Overall 90 % of our Academic Appointments Board members have participaded in the training.

Action 5

Investigation on needs (process support/tools) of HR related support to recruiting personnel (does not include R1 as they are not in the position to recruit): a) Academic Appointments Boards b) Heads of Departments c) departments for all kinds of research staff These actions are compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area One SLU.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Q4 2023	HR	Report available with suggestions for further actions

Current Status	Remarks
COMPLETED	We have implemented competency based recruitment throughout SLU, and are continously giving courses on the topic. No report is needed.

Proposed ACTIONS

Action 6

Develop coherent information on recruitment applicable to staff categories that are not handled by Academic Appointments Board This action is compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area One SLU.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 12. Recruitment	Q4 2023	HR	Coherent information available on SLU's staff web

Current Status	Remarks
COMPLETED	Information is available on SLU staff web. It will further on also be translated to English. https://internt.slu.se/stod-service/admin-stod/hr-fragor/rekrytering-och-annonsering/

Proposed ACTIONS

Action 7

Develop a policy regarding publication of advertisements on platforms including social media (employer branding project) This action is compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area One SLU.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Q4 2023	HR + Division of Communication	Policy document available Number of advertisements published on identified platforms

Current Status	Remarks
COMPLETED	Policy is available on website. Advertisement platforms are identified. https://internt.slu.se/stod-service/admin-stod/hr-fragor/rekrytering-och-annonsering/

Proposed ACTIONS

Action 8

Develop a policy regarding publication of advertisements for research staff (R1-R4) which includes publishing on Euraxess webportal. This action is compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area One SLU.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Q4 2023	HR + Division of Communication	Policy document available Number and share of total of advertisements published on Euraxess

Current Status	Remarks
COMPLETED	Policy is available on website. Advertisement platforms are identified. https://internt.slu.se/stod-service/admin-stod/hr-fragor/rekrytering-och-annonsering/

Action 9

Revise, publish and use advertisement templates according to relevant section of the toolkit provided by Euraxess.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 12. Recruitment	Q2 2022	HR	Advertisement templates revised and in use

Current Status	Remarks
COMPLETED	Advertisement templates are revised and in use.

Proposed ACTIONS

Action 10

Include aspects of collaboration competency in staff development reviews and synchronise with template for salary dialogue This action is compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area next steps for sustainable development.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 16. Judging merit (Code)	Q4 2021	HR + Vice chancellor	Revised version of staff development reviews.

Current Status	Remarks
IN PROGRESS	We have updated the salary criteria to include aspects of collaboration competency, and the next step will be to revise the template for staff development review and template for salary dialogue accordingly. Timing altered to Q2 2025.

Proposed ACTIONS

Action 11

Initiate discussion on SLU's position regarding mobility and its recognition as a judging merit and have a statement from the vice chancellors council (ledningsråd) on whether to proceed in this matter or not. If positive, initiate action on defining assessment criteria for mobility as a merit. This action is compliant with objectives related to internationaliszation expressed in the SLU strategy (SLU institutional plan) and gender mainstreaming plan.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 16. Judging merit (Code) (+/-) 18. Recognition of mobility experience (Code) (+/-) 29. Value of mobility	Q4 2022	HR + Vice chancellor	Statement from the Vice Chancellors Council regarding mobility as a juding merit.

Current Status	Remarks
COMPLETED	The Recognition of mobility experience is now included in the regulation for appointment procedures at SLU. https://internt.slu.se/en/support-services/administrative-support/human-resources/rekrytering-och-annonsering/appointment-procedures-for-slu/

Proposed ACTIONS

Action 12

Support to early career researchers;
Develop coherent information to early
career researchers covering aspects such
as career development, employment, salary
and social benefits (in Swedish and English)
This action is compliant with objectives
expressed in the SLU strategy (SLU
institutional plan), focus area One SLU.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 25. Stability and permanence of employment (+/-) 28. Career development (+/-) 30. Access to career advice	Q4 2023	HR + Division of Communication, support from Grants Office regarding career development	Coherent information available on SLU's staff web

Current Status	Remarks
IN PROGRESS	SLU is working together with other actors connected to the early career researchers at the university, to make information more clear and coherent on the SLU staff webb. Timing altered to Q2 2025.

Proposed ACTIONS

Action 13

Support to early career researchers; Investigation on needs for mentorship of post-docs (as legislated for R1) This action is compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area One SLU as well as internationalisation.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 36. Relation with supervisors (+/-) 37. Supervision and managerial duties	Q4 2023	HR	Report available

Current Status	Remarks
COMPLETED	A report has been written, based on interviews and key figures regarding early career researchers such as postdocs. This will be the ground for further development of actions for early career researchers.

Proposed ACTIONS

Action 14

Actions for post-docs on stipend; Conduct survey on conditions for post-docs on stipend This action is compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area One SLU as well as internationalisation.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 25. Stability and permanence of employment	Q4 2022	HR	Survey conducted and report available with suggestions for further actions

Current Status	Remarks
COMPLETED	Priorities has changed, during the process with interviews and writing the report on early career researchers. Further actions will be based on that report, thus no survey is needed at this point.

Proposed ACTIONS

Action 15

Actions for post-docs on stipend; Mapping of post-docs on stipend as part of the annual compilation (information available via IDIS) This action is compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area One SLU as well as internationalisation.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 25. Stability and permanence of employment	Q4 2021	HR+ Division of planning	Information on how many post docs stipend are at SLU over time

Current Status	Remarks
COMPLETED	The information is available in the system IDIS. The IT division has created a report available for the HR division, and it will be monitored continously.

Proposed ACTIONS

Action 16

Actions for post-docs on stipend; Survey on why departments accept post- docs on stipend This action is compliant with objectives expressed in the SLU strategy (SLU institutional plan), focus area One SLU as well as internationalisation.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 25. Stability and permanence of employment	Q2 2023	HR + Division of planning	Results from survey will serve as background to future actions

Current Status	Remarks
COMPLETED	Completed. The report on early career researchers show that this is a strategically important decision, that enabels SLU to keep good international networks, finding and attracting talent etc.

Proposed ACTIONS

Action 17

Publish link to the HRS4R documentation on relevant websites to improve visibility

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(++) 1. Research freedom	Q3 2022	Division of Communication	Published links at the following websites: https://www.slu.se/om-slu/jobba-pa-slu/, eng: https://www.slu.se/en/about-slu/work-at-slu/ https://internt.slu.se/min-anstallning/, eng: https://internt.slu.se/en/my-employment/ https://internt.slu.se/stod-service/admin-stod/hr/, eng: https://internt.slu.se/en/support-services/administrative-support/human-resources/
(+/-) 2. Ethical principles			
(+/-) 3. Professional responsibility			
(++) 4. Professional attitude			
(++) 5. Contractual and legal obligations			
(++) 6. Accountability			
(++) 7. Good practice in research			
(++) 8. Dissemination,			

Proposed ACTIONS

	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
	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			

Proposed ACTIONS

	GAP Principle(s) (Code)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
	(++) 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			

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
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			

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 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			

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
managerial duties			
(++) 38. Continuing Professional Development			
(++) 39. Access to research training and continuous development			
(++) 40. Supervision			

Current Status	Remarks
COMPLETED	Logo and links to the information and documents are on the websites stated above.

Proposed ACTIONS

Action 18

Include status report of HRS4R Action Plan as a standing item on the agenda at weekly meeting of the Division of Human Resources.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 28. Career development	Q3 2022	Division of Human Resources	Status reports included on weekly meetings agenda. HRS4R is also included in the HR Institutional Plan and will thus be monitored continuously.

Current Status	Remarks
COMPLETED	The status reports on HRS4R to the Division of Human Resources is not a standing item on the weekly meeting agenda. Although updates are given when there is news och information to share, and HRS4R is included in the HR Institutional Plan.

Proposed ACTIONS

Action 19

To ensure coherence and efficiency of actions between this action plan, the action plan for the SLU strategy and the gender mainstreaming plan, regular meetings (at least twice per term) between the coordinator (for the implementation phase) and the division of planning are to be conducted.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 10. Non discrimination (+/-) 14. Selection (Code) (+/-) 16. Judging merit (Code)	Q4 2022	Division of Human Resources, Coordinator Implementation Phase and Division of Planning	Regular meetings held and notes taken.

Current Status	Remarks
EXTENDED	These regular meetings are not in place yet. Timing altered to Q2 2025, when we also can include the commentary on our internal review, and possibly alter the target with respect to the frequency of these meetings.

Proposed ACTIONS

Action 20

Monitor the number of international researchers at SLU over time to see if number increases (by ordering relevant statistics from Statistics Sweden (Statistiska Centralbyrån).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 29. Value of mobility	Q4 2023	Division of Planning	The numbers of international researchers at SLU available for 2022 and 2023. Decision on which interval data will be ordered from Statistics Sweden onwards to observe long-term development.

Current Status	Remarks
IN PROGRESS	We have recieved the data for 2022, over how many internationally recruited researchers we have at SLU. The data is based on how many researchers that are employees at SLU per dec 2022, that does not have Swedish citizenship. The data for 2023 is not available yet. The division of planning will order this data continously and annually.

Proposed ACTIONS

Action 21

Adopt new version of "Appointment procedures for teachers at SLU" following OTM-R policy and thus establishing an OTM-R policy.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 3. Professional responsibility	Q3 2022	Division of Human Resources	New version adopted and published on relevant websites.

Current Status	Remarks
COMPLETED	The new version was established december 2022, and is now published in Swedish and English on our website. The appointment procedures for teachers at SLU is now adjusted updated to follow the OTM-R policy. https://internt.slu.se/en/support-services/administrative-support/human-resources/rekrytering-och-annonsering/appointment-procedures-for-slu/

Unselected principles:

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.
Please provide the link to the dedicated webpage(s) on your organisation's web site *:

URL *:
https://www.slu.se/en/about-slu/work-at-slu/HRS4R/; https://www.slu.se/om-slu/jobba-pa-slu/HRS4R/; https://internt.slu.se/en/my-employment/hrs4r/ (https://www.slu.se/en/about-slu/work-at-slu/HRS4R/; https://www.slu.se/om-slu/jobba-pa-slu/HRS4R/; https://internt.slu.se/en/my-employment/hrs4r/)

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 (Initial Phase)

The principles of the Charter and Code in the area of recruitment are found to be either fully implemented or almost implemented. Based on the gap analysis and on our review of the OTM-R checklist, some areas have been identified where SLU would benefit from further improvement. These areas are within the following items of the OTM-R checklist:

Item 1. SLU does not have an explicitly named overarching OTM-R policy as such. However, relevant documents follow the principles of OTM-R compliant with Charter & Code. However, the SLU Staff policy (will be revised according to **Action Plan, action 3)** and the Appointment procedures for teachers at SLU embrace OTM-R policies. Additional documents provide further guidance for applicants and recruitment processes. Furthermore, by following Swedish law and regulations combined with agreements and policies, SLU offers attractive working conditions for researchers and ensures a process fulfilling the aims of OTM-R.

Item 2. SLU's policies implement OTM-R procedures and practices in the recruitment of teacher positions (professor, associate professor, associate senior lecturer). The recruitment processes for researchers, PhD students, post docs, lecturers (adjunkt in Swedish) are, however, not standardized and need to be formalized in guidelines. When developing guidelines for these staff categories the OTM-R toolkit will be used as guiding principle (see **Action Plan, action 6**). It will be investigated how expertise at the Division of Human Resources can meet the needs of support during the recruitment process at the level of Academic Appointments Board and Heads of Department (see **Action Plan, action 5**).

Item 3. Managers/Heads of Departments and members of Academic Appointments Boards are introduced to relevant documents at the beginning of their term of office and thus can be considered sufficiently trained. Competency based recruitment is about to be established as the means of recruiting (see **Action Plan, actions 4.1-4.4**).

Item 4. SLU would benefit from advertising at other online platforms besides the SLU staff web and Platsbanken (equivalent to Eures). To address this, a policy document regarding publication of advertisements on platforms including social media (employer branding project) will be developed. In addition, a policy document regarding advertising for research staff (R1-R4) which includes a standardized utilization of Euraxess,

will be developed (see **Action Plan, actions 7-8**).

Item 6. SLU works from many different angles in order to promote the message of being the given choice of employer.

Item 7. A general area of improvement is transparency, where some key information is not yet translated into English. Documents and websites identified in the gap-analysis not yet available in English will be translated following SLU's rules of what must be available in both languages (see **Action Plan, action 1**).

Item 8. Policy documents and procedures which embrace OTM-R policies are in line with policies to attract underrepresented groups. Competency based recruitment should lead to non-biased hiring and an increased share of underrepresented groups being recruited (see **Action Plan, actions 4.1-4.4**).

Item 9. Policy documents and procedures that embrace OTM-R policies are in line with policies to provide attractive working conditions for researchers. Currently, information about career development and working conditions are scattered. Information needs to be structured so that it is easy to find (see **Action Plan, action 12**). Further actions to support early career researchers involve an investigation on needs for mentorship of post-docs (see **Action Plan, action 13**). Regarding post-docs on stipend, it has been identified that this group is beyond SLU's mandate to decide on unilaterally. Questions related to conditions for post-docs on stipend need to be addressed from the stipend givers and the legislative side. Routines for annual mapping of post-docs on stipend will reveal information about extent and trends. A survey will investigate the reasons behind departments accepting post-docs on stipend and will serve as a foundation for possible future actions (see **Action Plan, actions 14-16**).

Item 11. Templates for advertising positions are available in the e-recruitment tool ReachMee. Minor modifications are applied depending on the specific needs of the faculty. However, guidelines for advertising positions are not yet available and it is currently decided by the departments in which forums to advertise. A common policy would improve branding of SLU and increase visibility in a European and wider international context (see **Action Plan, actions 7-8**).

Item 12. SLU includes references or links to almost all the elements foreseen in the relevant section of the toolkit, Advertising and application phase in job advertisements. However, additional references/links should be included in templates, such as information about entitlements (benefits), professional development opportunities, career development prospects and to SLU's equal opportunities policy (see **Action Plan, action 9**).

Item 13. SLU would benefit from increasing its exposure and visibility on other online publication platforms except the SLU staff web and Platsbanken (equivalent to Eures). A policy document regarding publication of advertisements on platforms including social media (ongoing employer branding project) is an action that will address this. Also, a policy document regarding publication of advertisements for research staff (R1-R4) which includes utilization of Euraxess will be developed (see **Action Plan, actions 7-8**).

Item 14. See above.

Item 19. The "General assessment criteria for the appointment of teachers" serves as a guideline for Academic Appointments Boards in judging merit. According to the action plan SLU will translate and publish internal steering documents into English and create a comprehensive webpage that gives an overview of OTM-R at SLU. Also, SLU is currently updating the guidelines for the appointment of teachers. Since the updated appointment procedure is widening the concept of merits and skills it is also important to discuss how to evaluate merits in the areas of collaboration skills and mobility (see **Action Plan, actions 10 – 11**).

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

The general recruitment process at SLU is now described on the SLU web, with a detailed description from analysing the need for recruitment to onboarding. https://internt.slu.se/stod-service/admin-stod/hr-fragor/rekrytering-och-annonsering/ The webpage is not yes available in English.

In all job advertisements we have information regarding equal opportunity and overall presentation of SLU, instead of having references or links to the relevant information.

Rules concerning the composition of selection committees (also regarding gender balance) and guidelines for them, are stated in the SLU delegation of Authority. https://internt.slu.se/en/organisation--styrning/decisions-governing-docs/delegations-of-authority/

Complaint mechanisms regarding appointments within the Swedish government, the right to appeal an employment decision is regulated in Section 21 of the Employment Ordinance. Appeals in employment matters are heard in a special board, the Appeals Board for the University/ Överklagandenämnden för högskolan (ÖNH).

SLU has a Internal Audit Unit, that can audit all objectives and processes at SLU. The work conducted by the Internal Audit Unit aims to support SLU's operations and enable the university to deliver services of the highest quality. The unit works independently of the university's operational activities to ensure that audits are objective, impartial and conducted with integrity. The internal audit is conducted in accordance with the Internal Auditing Ordinance with associated regulations and general advice and in accordance with guidelines for professional internal auditing (Internal Professional Practice Framework, IPPF). This means that the internal audit must work objectively, independently, professionally, with great integrity and according to accepted working methods. This also means that the internal audit must ensure the quality of its own operations through internal and external quality assessment. The internal audit is independent from the operational activities and administratively subordinate to the principal. The rector must, in consultation with the chairman of the board, decide on the employment of and salary for the head of the unit. The final results of each audit are reported to the SLU Board. https://internt.slu.se/en/organisation--styrning/uppfoljningar-och-indikatorer/internal-auditing/

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:
()

4. Implementation

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

The Division of Human Resources coordinates the implementation phase and has been focusing on integrating HRS4R activities (as described in the action plan) into the existing structures of the university, such as boards and councils. Boards and councils must consider aspects of equality and usually have representation from R1-R4. To achieve an optimal integration, the composition of the steering committee would include representatives from diverse areas of the university in order to utilize existing meeting fora and decision-making structures (boards and councils) to safeguard flow of information in both directions. Although where we are now in the process the steering committee includes the Pro Vice-Chancellor for international relations, who also represents the research community, and the Director of Human Resources. The steering group reports to the Senior management team at SLU. As actions are added, prioritised and altered through the implementation process, the composition of the steering group will change over time adjusting to the current conditions. The steering committee will then be extended to

include representatives from diverse areas as stated above. The steering committee's task is to oversee the work and continue to ensure a strong link between the listed activities and strategic decision-making and policy development in the areas of research, education and human resources.

A coordinator is appointed by the Director of Human Resources, and this person is responsible for the supervision of the implementation of activities according to the time frame, including administration, planning and follow-up activities as well as communication together with the Division of Communication. The coordinator reports on a regular basis to the steering committee and has regular contact with the implementation group and the different project groups formed in the implementations process. These project groups are formed from their work connected to the different actions in the action plan. These project groups also have contact and work with other representatives from diverse areas of the university in order to integrate the activities at large.

The implementation group´s composition has varied over time and will continue to do so as projects have different starting- and ending times and project leaders will only be part of the implementation group as long as a project is ongoing. The implementation group is a forum for exchange of experiences, discussion and feedback for the project leaders and includes mainly staff from the division of Human Resources, since the action plan mainly contains of actions processed by the division of Human Resources. Although other departments, as the division of Communication and the division of Planning are also involved in different actions. R1 researchers is mainly involved through the decision making fora and advisory committees where HRS4R activities is discussed as part of the governance structure of SLU. Faculty boards (for decisions on faculty level) and other relevant boards are composed of researchers from R1-R4 level. Of particular relevance for the implementation of the HRS4R process are Faculty Boards, Appointments Boards, and gender equality and equal opportunities committees at both university and faculty level.

Project leaders appointed by the Director of Human Resources are responsible for planning and conducting actions listed in the action plan. They report on a regular basis to the coordinator and the about the status of the different activities.

The main stakeholders, the research community, will be involved both through dissemination of information about the process on the designated HRS4R website. The Heads of Departments will act as a channel for engaging the research community at their departments.

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

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

How have you prepared the internal review?*

Detailed description and duly justification (max. 500 words)

SLU has appointed a coordinator at the division of human resources, who is overseeing the different parts of the internal review. Several persons, divisions and departments throughout SLU is involved in gathering information about the progress of the different actions in our action plan. Also HR controller and the division of Planning is involved to update the key figures of our organization. The coordinator reports to the steering group, who reports to the Senior management team, before sending in the internal review using the HRS4R E-tool.

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

Detailed description and duly justification (max. 500 words)

The implementation process follows the line of operations at SLU, the line of operation within the research community being Vice-Chancellor, Faculty Dean, Head of Department and will of course involve appropriate decision-making and advisory bodies. All members of boards and committees at SLU are active researchers and often R1 researchers are represented in these groupings. The steering committee at first consisted of several active researchers to ensure involvement and important information exchange in working with the actions. Different actions are continuously discussed and worked through in different forums, such as the Academic Appointment Boards and other academic and advisory bodies. Progress and results are regularly published on the HRS4R website.

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

Detailed description and duly justification (max. 500 words)

It is the coordinator's responsibility to oversee the progress, inform the steering committee and meet with the implementation group on a regular basis. Information can occasionally be shared in the form of reports but, at least twice a year progress is discussed at meetings. It is also the coordinator's responsibility to gather information from project leaders on status of projects, and monitor and document progress or deviations from the original plan.

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

Detailed description and duly justification (max. 500 words)

SLUs steering documents, policies and guidelines are already in line with the principles of the Charter and Code. However, when these kinds of documents are updated, the coordinator needs to be alerted to make sure an update will be made according to the principles of the Charter and Code. One example of this is the Appointment procedures for teachers at SLU.

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

Detailed description and duly justification (max. 500 words)

SLU's HRS4R action plan is approved by the Vice-Chancellor. Additionally, as described above, the implementation is ensured through the coordinators work, project leaders, the implementation group, and the steering group. Involvement of different divisions throughout the university during the process are also important factors for making sure the actions are completed and implemented.

How are you monitoring progress (timeline)?* ⌄

Detailed description and duly justification (max. 500 words)

Progress is monitored against the targets and the timeline in the action plan. It is the respective project leader's task to ensure progress and that status is reported to the coordinator on a regular basis. It is the coordinator's task to report to the steering group and support project leaders when necessary. During this work priorities and timelines may be altered if needed. All due to the agile process this is.

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

Detailed description and duly justification (max. 500 words)

Progress will be described in relation to the achievement of the actions' target. In addition, it needs to be evaluated if the identified gaps have been fully addressed or if further action is needed to close the gaps. We will also discuss if we need to change priorities, add actions or alter actions further on in our implementation phase. The comments from the interim assessor will be an important contribution in this work.

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

Detailed description and duly justification (max. 500 words)

We will work closely with the division of Planning and the division of Communication to develop a good communication strategy.

We will develop a plan to further involve the research community, as we see that this is an area of improvement.

The action plan will be revised further, we will discuss if we need to change priorities, add actions or alter actions. The comments from the interim assessor will be an important contribution in this work.

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