

GAP ANALYSIS

Working document

Case number: 2021SE721930

Name Organisation under review: University West (HV)

Organisation's contact details: Sofie Stenqvist, HR Department, sofie.stenqvist@hv.se

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GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers:

GAP analysis overview

<p>Status: to what extent does this organisation meet the following principles?</p>	<p>Implementation ++ = fully +/- = almost but not fully -/+ = partially -- = insufficiently</p>	<p>GAP / Implementation impediments In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. Implementation impediments: If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.</p>	<p>Initiatives undertaken/new proposals If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.</p>
<p>Ethical and Professional Aspects</p>			
<p>1. Research freedom</p>	<p>++</p>	<p>National legislation The university is legally bound by the following national legislation:</p> <p>Research freedom in Sweden is enshrined in the Swedish Higher Education Act 1992:1434, chap 1 §6.</p> <p>The following general principles are applicable:</p> <ul style="list-style-type: none"> • research issues may be freely selected, • research methodologies may be freely developed, • research results may be freely published. <p>In addition, there are several statutes that regulate the publication of research data:</p> <ul style="list-style-type: none"> • Freedom of Speech Act The purpose of freedom of expression under this Act is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation. • Freedom of Press Act Freedom of press is understood to mean the right of every Swedish citizen to publish written matter, without prior hindrance by a public authority or other public body, and not to be prosecuted thereafter on grounds of its content other than before a lawful court, or punished therefore other than because the content contravenes an express provision of law, enacted to preserve public order without suppressing information to the public. <p>Furthermore, new legislation of relevance is expected based on the following proposal:</p>	<p>No gaps were identified in the gap analysis.</p>

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		<ul style="list-style-type: none"> • New government regulation for distribution of government funding according to profile areas. This will replace the quality methods based on bibliometrics and attracting external financing will come into play in 2024/2025. <p>Organisational regulation Research freedom is one of the pillars of research in Sweden. As a public-funded university, HV is committed to comply with national legislation. Researchers are free to publish their results; furthermore, researchers own their findings, which they can individually benefit from. However, since most of the university-based research carried out in Sweden is externally financed, research topics are increasingly determined or at least guided by external actors.</p> <p>Vice-Chancellors can use discretionary funds to support research determined by the university leadership. The new government regulation for distribution of government funding to universities according to profile areas has led to HV deciding to allocate the major part of its resources around two complete academic environments. Research in other areas is for that reason negatively affected as regards financing. Information can be found in the internal document 'Riktlinjer för fördelning av forskningsanslag', HV 2017/1503.</p> <p>Research at HV is continuously evaluated through an internal quality assurance system for research. HV participated in a pilot review of the quality assurance work on research run by the Swedish Higher Education Authority. As a result, HV's system for quality assurance of research was updated in 2022, document number HV 2021/105. The principle of research freedom is more predominantly addressed in this document.</p> <p>Research at HV is currently organised in five research environments. The university is currently in the midst of a strategic activity to re-organise its resources around a total of two "complete academic environments (KAM)", which will partly dissolve the current structure. This was decided by the university board in 2021 and the ambition is to launch these KAMs in</p>	

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		<p>January 2023. The two KAMs are in the fields Production Technology and Work Integrated Learning. Strategic plans for each KAM have been determined and are accessible to all employees on the internal website.</p> <p>HV follows appropriate national legislation and any changes made thereto and advises incoming international researchers of such legislation and researchers' rights and obligations. This will be facilitated in the future through an online manual for incoming researchers (discussed later on in the Gap Analysis).</p>	
<p>2. Ethical principles</p>	<p>+/-</p>	<p>National legislation The university is legally bound by the following national legislation:</p> <ul style="list-style-type: none"> • The Act (2003:460) concerning the Ethics Review of Research Involving Humans. • Animal Welfare Act (SFS 1988:534). This Act applies to the care and treatment of domestic animals and laboratory animals. It also applies to other animals if they are kept in captivity. This legislation is currently not relevant for HV. • The Swedish Research Council (Sw. Vetenskapsrådet, VR) is an authority under the Ministry of Education and Research. It has a key role in developing Swedish research of the highest scientific quality, thereby contributing to the development of society. It is also a significant research financing agency. • Swedish Ethical Review Authority is a government agency under the Ministry of Education that conducts ethical reviews of research on humans, but also of research on biological materials and sensitive personal data. The Authority started operations in 2019, replacing the previous regional ethics review boards. 	<p>Planned initiatives See Action no. 1.</p>

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		<p>Organisational regulation</p> <p>As a public-funded university, HV is committed to comply with national legislation, as laid out above. Regular auditing by the national audit authorities, such as the Swedish Higher Education Authority, is in place to ensure that the university remains compliant.</p> <p>At HV the Research Ethics Committee is organised under the Research and Education Board (FUN). Its assignments are stated in a mission statement (HV 2021/326).</p> <p>The committee's overall task is to handle research ethics issues on behalf of FUN. The Research Ethics Committee consists of a teacher representative from each department, a member from FUN and one student. The teacher representatives are appointed by the respective department boards and FUN. The term of office for teachers is three years. The student is appointed by the student union, for the term of office determined by the student union.</p> <p>As its main task, the Research Ethics Committee shall monitor and report research ethics issues for FUN and through proactive work support a strong research ethics culture and a research ethics approach among the university's researchers and students.</p> <p>This includes:</p> <ul style="list-style-type: none"> • monitoring research ethics issues, in terms of rules, legislation and other universities' handling of such. • preparing cases for FUN regarding research ethics issues (for example, developing of guidelines, documents, responding to referrals, carrying out quality follow-up of research ethics aspects). • supporting the university's researchers, teachers and students in research ethics issues, through information on the university's website and, if necessary, by arranging seminars/workshops, with special focus on misconduct, good research practice and ethical review. 	

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		<ul style="list-style-type: none"> • receiving reports of suspected deviation from good research practice for forwarding to the Vice-Chancellor and the Committee for the Investigation of Deviations from Good Research Practice. • appointing two representatives to the Committee for the Investigation of Deviations from Good Research Practice, for the period decided by the committee itself. • representing the university in research ethics issues vis-à-vis external stakeholders, for example other universities, government agencies and research funders. • otherwise promoting a strong research ethics culture and good research practice. <p>Gaps The role of the Research Ethics Committee does not include advice on research ethics applications and ethical assessment of research funding applications, and this has been identified a gap. Many external funders require an ethical evaluation to be annexed to all applications and the currently the research ethics committee does not have this assignment.</p>	
<p>3. Professional responsibility</p>	<p>++</p>	<p>National legislation Professional responsibility is expected as part of the regulations and recommendations for state employees.</p> <p>The university is legally bound by the following national legislation:</p> <p>The Swedish Higher Education Act 1992:1434, § 3a Higher education institutions shall uphold academic credibility and good research practice.</p> <p>The Administrative Procedure Act (1986:223) applies to the handling of administrative matters by public authorities (e.g. public universities).</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>The Board for the Review of Misconduct in Research (Npof) began its operations on 1 January 2020 when the Act on responsibility for good research practice and the examination of misconduct in research came into force. The Board has the task of examining questions of misconduct in research and contributes to maintaining good research practice, thereby contributing to a high level of confidence in Swedish research and Sweden as a leading research nation.</p> <p>Organisational regulation At HV, the following policies and boards ensure that employees fulfil their professional responsibilities:</p> <p>DECISION-MAKING Employment Board HV 2019/216 Personnel Liability Committee HV 2022/177 The Research and Education Board (FUN) HV 2022/193 Departmental/Faculty boards: HV 2019/373</p> <p>ADVISORY FUNCTIONS Safety Committee HV 2019/80 WIL Council HV 2019/401 ICT advice board HV Policy 2013/1257 A21 Research Programme Board 2016/936 A21 Research Ethics Committee HV 2021/326 Quality Assurance Council 2014/483 A13 Strategic Internationalization Council (SIR) HV 2020/835 Council for sustainability HV 2020/701</p> <p>Rules for business trips HV 2021/654 Guideline for side occupation 2015/578 A21</p>	

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		<p>Guideline for university-wide centre formations HV 2021/508 Guideline for wage setting 2016/370 A 21 Guideline for language management HV 2019/545 Guidelines for the appointment of honorary doctor HV 2021/157</p> <p>All internal documents with a reference number can be provided on request by the registrar's office.</p> <p>HV as an authority has an overarching responsibility for handling cases of misconduct in research. This is handled by the Committee for investigating Suspected Deviations from Good Research Practice, HV 2020/122. The process for reporting suspected misconduct is presented on the internal website to all employees and follows this structure:</p> <ul style="list-style-type: none"> • Report, when it is deemed serious, directly to The National Board for Assessment of Research Misconduct (Npof), any cases of fabrication, falsification or plagiarism. In other cases, a report is sent to the Vice-Chancellor. • Assessment of report (by the chairman of the Committee). • Assessment regarding suspicion of research misconduct. • Preliminary investigation. • Decision on result. • Full investigation. <p>Also relevant: Regulation for suspicion of serious deviation from good research practice. HV 2019/544 Appointment of faculty representative to the Committee for investigating Suspected Deviation from Good Research Practice, HV 2020/356.</p>	

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<p>4. Professional attitude</p>	<p>++</p>	<p>National legislation Professional attitude and Professional responsibility are inseparable and are closely governed by the contractual and legal obligations to which each researcher must adhere (see point 3). Professional attitude is thus a prerequisite for universities to fulfil Swedish legislation. <i>Swedish State Values</i> The Swedish Agency for Public Management is the Government's organisation for analyses and evaluations of state and state-funded activities. It provides the Government and Ministries with relevant, concrete and useful studies in all areas with the aim of making the public sector more efficient. With expertise in public administration, it supports the Government with matters relating to organisation, governance and development of the public sector. It also contributes to and coordinates the state authorities' work towards a sound administrative culture. A sound administrative culture deals with the professional ethical foundations that must characterise the work of all state employees. Organisational regulation The Swedish State Values are presented to all HV staff and teachers on the internal website. To create the conditions for good administration that is democratic, efficient, legally secure and free from corruption, it is important that all employees know and understand the State Values. The State Values include the common principles for good governance: democracy, legality, objectivity, free opinion formation, respect and efficiency and service. The text also gives examples and discusses behaviours and attitudes.</p>	<p>No gaps were identified in the gap analysis.</p>

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<p>5. Contractual and legal obligations</p>	<p>+/-</p>	<p>National legislation The following national legislation applies depending on the research area:</p> <ul style="list-style-type: none"> • Act (1960:729) on Copyright in Literary and Artistic Works • The Patent Act (1967:837) • Act (1949:345) on the Right to Employee Inventions • Design Protection Act (1970:485) • The Trademark Act (2010:1877) • The Trade Names Act (1974:156) • The Names Act (1982:670) • The Swedish Higher Education Act (1992: 1434), Chapter 1 § 6 • The Act (2003:460) concerning the Ethics Review of Research Involving Humans • The Act on Public Procurement • The General Data Protection Regulation (GDPR) <p>This applies throughout the European Union. Its purpose is to create a uniform and harmonised level for the protection of personal data so that the free movement of personal data within Europe is not hindered.</p> <p>Organisational regulation At HV the Grants and Innovation Office (GIO) and other central support units assist researchers in keeping up to date with funding bodies' requirements. Legal support gives structured support and advice for legal agreements.</p> <p>The support is structured according to the following documents, which are accessible for all employees on the internal website:</p> <ul style="list-style-type: none"> • HV 2019/402 Rules and regulations for contract management. • HV 2019/456 Routine for Contractual management. • HV 2019/403 Guidelines for Collaborative Research. 	<p>Planned initiatives See Action no. 2.</p>

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		<p>The Data Access Unit (DAU) at HV also supports researchers in ensuring that contractual and legal obligations are complied with. The DAU is part of a national collaboration run under the auspices of the Swedish National Data Service (SND). SND has a primary function to support the accessibility, preservation, and reuse of research data and related materials. Together with a national network of universities and public research institutes, SND forms a national infrastructure for open access to research data. The goal is to make access to research data as "open as possible, as closed as necessary".</p> <p>A recently started Information Security Group (INFOSÄK) at HV will work in the area of information security and data protection, including GDPR.</p> <p>HV's Quality Assurance System for Research states that a Data Management Plan must be drawn up prior to the start of a new research project. Such plans are often a prerequisite in external research funding contracts.</p> <p>Gaps Further work needs to be carried out explaining and disseminating information on intellectual property, research data, GDPR regulations, and the significance and content of research funding contracts.</p> <p>Incoming researchers need to be clearly informed about relevant general legislation.</p>	
<p>6. Account-ability</p>	<p>++</p>	<p>National legislation The Swedish Higher Education Act 1992:1434, § 4, The operations of higher education institutions are organised to ensure that high standards are attained in courses and research.</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>The principle of public access to official records is expressed in different ways in the Swedish Basic Law. The principle encourages the free exchange of opinion and availability of comprehensive information, every Swedish citizen shall be entitled to have free access to official documents.</p> <p>Open Access of publications is usually a prerequisite in research contracts with foundations, research councils, EU etc.</p> <p>The Swedish Higher Education Authority is a government agency that evaluates the quality of higher education and research in Sweden.</p> <p>The Association of Swedish Higher Education Institutions (SUHF) is a joint framework that aims at promoting sector interests to external actors and at strengthening internal cooperation. SUHF provides an arena for exchange of views and cooperation among its member institutions and safeguard their interests. SUHF has coordinated the joint HRS4R application work carried out by Swedish universities.</p> <p>Organisational regulation HV has a Quality assurance system (QAS) to guarantee accountability (Quality assurance system for research: HV 2019/608). This states, among other things, that there should be an annual follow-up of all research by FUN as well as a more extensive follow-up every three years, and one done by external evaluators every six years.</p> <p>The Swedish Higher Education Authority evaluated the QAS in 2020 and consequently the research section was updated in 2022 (see document HV 2021/105).</p> <p>Previously mentioned Swedish legislation governs the right to freedom of expression, freedom of information for officials and availability of public documents. Further, higher education institutions are organised to ensure that high standards are attained in educational</p>	

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		<p>courses and study programmes as well as in research. Also, the resources available shall be used effectively to sustain a high standard of operation.</p> <p>During the process for application for external funding, the internal University West Digital Resource and Financing Certificate must be completed. The main purpose of the certificate is to ensure that there are sufficient resources allocated for the project's implementation. The document also aims to serve as a basis for collecting project-relevant information for reporting etc. It is the responsibility of the project leader to set up the certificate. The project leader is also responsible for the application, and later the project, to be conducted in accordance with guidelines from both the financier and HV. The signatures of the head of department/Vice-Chancellor ensure that the application (including budget) has been approved by the responsible person. The head of department signs in the normal case, the head of department plus the Vice-Chancellor in the following cases:</p> <ul style="list-style-type: none"> - Commitment for the university of a total economic value exceeding SEK 5 million (HV 2016/541) - Commitments (regardless of economic value) that are of strategic importance and/or of concern for more than one unit within the university AND that has been requested by the Vice-Chancellor (HV 2016/541) - Some funders always require the Vice-Chancellor's approval and signature regardless of economic value. 	
<p>7. Good practice in research</p>	<p>+/-</p>	<p>National legislation Relevant national legislation includes:</p> <ul style="list-style-type: none"> • Work Environment Act (1977:1160) • GDPR legislation • Archives Act (1990:782) • Public Access to Information and Secrecy Act (2009:400) 	<p>Planned initiatives See Action no. 3.</p>

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		<ul style="list-style-type: none"> • The Swedish Higher Education Act has recently been updated to state that higher education institutions shall uphold academic credibility and good research practice. • The Act on responsibility for good research practice and the examination of research misconduct contains provisions on the responsibility held by researchers and the entity responsible for research for research being conducted in accordance with good research practice and on an independent board that must examine allegations of research misconduct.) contains provisions on the responsibility held by researchers and the entity responsible for research for research being conducted in accordance with good research practice and on an independent board that must examine allegations of research misconduct. • Data Governance Act. The law applies to universities and colleges under state ownership only in respect of research data. For university and college libraries, this only applies if the library has the task of conducting or funding research or making research data directly available. The act implements Directive (EU) 2019/1024 of the European Parliament and of the Council of 20 June 2019 on open data and the re-use of public sector information. This act came into force on 1 August 2022. <p>Organisational regulation To ensure a secure national IT environment, HV is part of the SUNET, the Swedish University computer Network, a unit within the Swedish Research Council, VR. There are also internal rules and regulations for IT that applies to all personnel and students.</p> <p>In accordance with the Guidelines for information security (HV 2019/488) the university has a data protection and information security group. According to its assignment, the group will drive the work with information dissemination, exchange of experience, coordination and follow-up in information security and data protection (GDPR) for all activities at HV and provide appropriate support for it. See also point 5.</p> <p>Other internal guidelines that relate to good practice in research are:</p>	

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		<ul style="list-style-type: none"> • HV 2019/403 - Riktlinjer för samverkansforskning vid Högskolan Väst. (Guidelines for collaborative research at HV), which deals with research in collaboration with external stakeholders such as companies etc. • HV 2020/97 - Riktlinjer för inrättande och avveckling av ämne på forskningsnivå. (Guidelines for formation and dismissal of a research subject at HV). • HV 2020/615 Riktlinjer för uppdrag som verksamhetsledare för vitala forskningsmiljöer. (Guidelines for the assignment as manager for a research environment). • HV 2021/166 Rutin för forskningsansökningar till extern aktör. (Guidelines for application on external funding). • HV 2019/54 Riktlinjer för centrumbildningar. (Guidelines for Center formation). <p>With increasing demands from research funders regarding open access to research data follows a need for support during the research process. For this reason, a function has been formed to create sustainable and functional support for research staff at HV. The function is called the Data Access Unit (DAU) and is discussed in point 5 above.</p> <p>Handling of misconduct in research is discussed in point 3.</p> <p>Furthermore, good research practice means that:</p> <ul style="list-style-type: none"> • before the research is started or a researcher is recruited to the group, the researcher should have defined and documented, the rights and the responsibilities and obligations of the members of a research group, as well as copyright issues to the research results and the preservation of materials (see also point 5). • funding and other constraints of significance to conduct research are communicated to those who participate in the research and report when the research results are published. • good scientific and financial management practice is observed. 	

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		<p>Gaps The Gap Analysis revealed several weak areas regarding this point, particularly as regards data storage and general information regarding newer legislation.</p> <p>A Research Portal collecting together all information regarding research and researchers was considered to be a valuable asset.</p> <p>A Research Strategy for the whole university should be considered.</p>	
<p>8. Dissemination, exploitation of results</p>	<p>++</p>	<p>National legislation The Swedish Higher Education Act (1992:1434), Ch. 1, 2 and 3§§ The mandate of higher education institutions includes third-stream activities and the provision of information about their activities, as well as ensuring that benefit is derived from their research findings.</p> <p>Organisational regulation The support structure for dissemination and exploitation of results consists of:</p> <ul style="list-style-type: none"> • HV library support for Open Access. • "How to publish" support at the library. • "How to communicate your research" by the HV Office of Communications and International relations. • Using your research (GIO services include assistance with grant applications, innovation, utilisation, verification, patenting etc.). GIO is part of a west Swedish collaboration on innovation, run by the Chalmers Innovation Office. • Within the Validation for Application (VFT) programme, HV offers advice and the opportunity to apply for funding to investigate how research can be used outside the academy. VFT also offers idea testing. 	<p>No gaps were identified in the gap analysis.</p>

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		<ul style="list-style-type: none"> Dissemination and exploitation are covered in HV's Quality Assurance System for Research. 	
<p>9. Public engagement</p>	<p>++</p>	<p>National legislation The Swedish Higher Education Act (1992:1434), Ch. 1, 2 and 3§§ The mandate of higher education institutions shall include third-stream activities and the provision of information about their activities, as well as ensuring that benefit is derived from their research findings.</p> <p>Organisational regulation Essentially all research funding bodies now require a dissemination plan in funding applications. This plan must detail dissemination to peers as well as to all levels in society, from national and international decision-makers to the general public.</p> <p>Furthermore, in other funding applications, commercialisation plans (innovation management) are also required.</p> <p>Västpunkt is the HV's digital magazine about research and collaboration. The content consists of features and news texts with links to opportunities to develop deeper collaboration. The content is disseminated mainly via Facebook, but there is also a website where all content is collected.</p> <p>There is also participation in the national programme for the European Researchers night in Sweden and arrangements like Fika med Forskare (Coffee Break with Researchers), a local initiative in collaboration with other actors in the local society -</p> <p>The Communications Department has published a guide on the internal website to assist the researchers in public engagement. Further activities of the department can be found at. The</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>purpose of HV's research communication is to contribute to making the research's task and results in society visible.</p> <ul style="list-style-type: none"> • Make HV's research and knowledge available to different target groups in relevant channels • Communicate research initiatives and research results with the goal of making a difference in society, which contributes to strengthening and positioning HV's brand. • The communication department is responsible for broad dissemination of information, e.g. via media, social media, implementation of overall events and by contributing knowledge and training in communication and providing support to researchers in relationship-building communication. The department is responsible for initiating and conducting regular reconciliations with each of the research environments around the communication initiatives. <p>The most important steps when it comes to university-wide research communication are the following:</p> <ul style="list-style-type: none"> • Develop internal communication to create pride and increase knowledge about our research - e.g. show publications, promote and celebrate internally when new projects start. • Make research results available - show both breadth and excellence in various channels and contexts such as the web, popular science lectures, newsletters, films, podcasts etc. Make communication easy to understand. • Create a good communicative basic support - templates, presentation material, training in social media, presentation technology and maintain a function for advice and support towards researchers. 	

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		<ul style="list-style-type: none"> Use media as much as possible - media is the channel that reaches the most target groups and is the most effective way to reach many. University West should intensify and improve media communication. 	
<p>10. Non-discrimination</p>	<p>++</p>	<p>National legislation The Discrimination Act (2008: 567) Work Environment Act Civil Service Act (1994: 260) The Equality Ombudsman (DO) is a government agency that works on behalf of the Swedish parliament and government to promote equal rights and opportunities and to combat discrimination. Swedish Gender Equality Agency contributes to effective implementation of Swedish gender equality policy. The work of the agency requires close cooperation with other government agencies, municipalities, county councils, regions, civil society and business and industry. The main task of the gender equality agency is to coordinate, follow up and provide various forms of support regarding gender equality. The Swedish Secretariat for Gender Research is a Nordic knowledge hub specialising in sustainable conditions for education, research and working life. We produce research driven knowledge on gender, power and sustainability to address global societal challenges. We operate in collaboration with and conduct commissioned research for a range of actors at national, Nordic and international level.</p>	<p>No gaps were identified in the gap analysis.</p>

		<p>Organisational regulation HV has a number of steering documents and regulations which include different aspects of non-discrimination:</p> <p>Strategy for sustainable development (HV 2020/700) HV's policy for sustainable development formulates overarching goals for sustainable development and the strategy for sustainable development identifies nine objectives. Particularly prioritised areas where the university has long-term sustainability goals are climate adaptation and gender equality.</p> <p>A sustainable work and study environment on equal terms (objective 8, agenda 2030) Agenda 2030 identifies health and wellbeing, work environment and working conditions, as well as reduced inequality, as central objectives, and areas of focus in the efforts to create a sustainable world. HV has decided strategies, formal HV objectives and responsibilities for the ongoing and upcoming work.</p> <p>HV's Plan for gender mainstreaming at University West (2021-2023), The Plan is an appendix to the strategy for sustainable development (HV 2020/700) and identifies prioritised focus areas and activities. The plan includes charting gender equality, equal research and third-cycle education, equal and inclusive working and studying environment, continued and supplementary measures, equal recruitment, acquisition of qualifications and research allocation, gender equality in communication and information, gender equality competence. An updated plan from 2023 onwards will soon be submitted to the Swedish Gender Equality Agency.</p> <p>Council for Sustainability (Hållbarhetsråd) The board plays an important role in HV's work with sustainability. The council drives HV's work with strategic sustainability forward, gives guidance to the Vice-Chancellor and coordinates the overall analysis and follow-up for HV's sustainability work, which includes non-discrimination.</p> <p>Procedures for discrimination and victimisation</p> <p>HV's plan för accessibility (tillgänglighet) HV works systematic with accessibility, in order to make it possible for as many people as possible to take part in HV's physical environment and gaining access to information,</p>	
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		<p>communications and being able to use our services. HV works for inclusiveness and to make sure that all students, employees, and external parties can access HV.</p> <p>On a regular basis, the university carries out a major employee surveys that cover many subjects including discrimination and working environment. This gives the individual employee a chance to give an opinion. However, the results at an individual employee level are not identifiable.</p> <p>Equal terms, rights and opportunities</p>	
<p>11. Evaluation/appraisal systems</p>	<p>+/-</p>	<p>National legislation From an employer's point of view, there is no national legislation regarding evaluation/appraisal systems.</p> <p>However, from the funder's perspective, the Swedish Research Council (Sw. <i>Vetenskapsrådet</i>, VR) conducts various types of evaluations of research, both evaluations of research topics and evaluations of government-initiated research efforts, the latter more frequent.</p> <p>The focus of the evaluations is on scientific quality, though aspects such as strategic management at the university level and research impact may occur.</p> <p>Responsibility for the compliance with ethical guidelines rests with the academic institution at the university.</p> <p>In addition, the Knowledge Foundation assesses the INFINIT environment annually with regard to scientific development, co-production, staffing and processes for quality assurance.</p> <p>Ordinance (2007:603) on Internal Control and Internal Audit Ordinance (2006:1228), 1 and 2 §§ give guidance about internal steering mechanisms.</p>	<p>Planned initiatives See Action no. 4.</p>

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		<p>The Swedish Higher Education Authority (UKÄ) has been given the responsibility of evaluating quality assurance of research at Swedish universities.</p> <p>Organisational regulation In one of its regular audits of the university, the Swedish Higher Education Authority (UKÄ) identified gaps in the university's quality assurance system for research. These have now been corrected and reported in 2022. Changes included the role of the quality assurance system in the external audit of all research at the university.</p> <p>In the internal quality assurance system for research HV 2021/105, all research is evaluated on a yearly basis by the HV Board of Education and Research and presented in a report.</p> <p>Every third year the evaluation is more extensive and includes a follow-up on all different research structures and complete academic environments. Every six years, all research is evaluated by external experts.</p> <p>As regards staff evaluation systems, these are carried out during annual staff appraisals, during regular salary discussions and in merit advancement processes.</p> <p>Gaps The gap analysis revealed that staff evaluation systems need to be improved.</p>	

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<p>Recruitment and Selection</p>			
<p>12. Recruit- ment</p>	<p>++</p>	<p>National legislation The Instrument of Government Chapter 11, Section 9 states: "When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account." The Public Employment Act (1994:260) states: "When making appointments only objective factors such as service merits and competence shall be taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist." <i>Other relevant national legislation</i> The Swedish Higher Education Act (1992:1434) The Higher Education Ordinance (SFS 1993:100) Discrimination Act (SFS 2008:567)</p> <p>Organisational regulation HV uses the web-based Varbi on-line recruitment system.</p> <p>In addition to legislation, the following also guide recruitments of researchers at HV:</p> <ul style="list-style-type: none"> • Employment regulations (HV 2017/1632 A 21). This document is currently under review and will be updated in the beginning of 2023; the link leads to the webpage that will contain the new document. • Guidelines of employment and promotion of teachers at University West (HV 2018/487 A 21). This document is currently under review and will be updated in the beginning of 2023; the link leads to the webpage that will contain the new document. 	<p>No gaps were identified in the gap analysis.</p>

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		<ul style="list-style-type: none"> • Rules of appointing associate professors (HV 2021/860). • Rules and Guidelines for Research education (HV 2022/166). • General syllabus for the third-cycle programme in production technology. • General syllabus for the third-cycle programme in work integrated learning. • Plan for gender mainstreaming at University West (2021-2023) includes for example activities regarding equal recruitment, acquisition of qualifications and research allocation. <p>All departments update/compile an annual planning cycle and action plan for competence management and development, evaluating in which subject fields they need to recruit and what groups that are underrepresented.</p>	
<p>13. Recruitment (Code)</p>	<p>+/-</p>	<p>National legislation Listed in point 12.</p> <p>Organisational regulation See also point 12.</p> <p>Although no gaps were identified in point 12, some gaps were identified in point 13. This is mostly due to a lack of clear guidelines (code) regarding advertisements.</p> <p>All our job advertisements are published for a minimum of two weeks. In cases where applicants are asked to supplement their applications, they are given reasonable time to do so.</p> <p>Gaps The Gap Analysis revealed some weaknesses in the job advertisements:</p> <ul style="list-style-type: none"> • Lack of information about working conditions for applicants. 	<p>Planned initiatives See Action no. 5.</p>

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		<ul style="list-style-type: none"> • Lack of information about career development prospects for applicants. • Lack of information regarding rights and obligations for applicants. • A great dissemination of the advertisements would be valuable. • A longer application time would improve the chance of a greater number of applicants. • There is nothing in the advertisements regarding Career development, and it is often not discussed during interviews. 	
<p>14. Selection (Code)</p>	<p>+/-</p>	<p>National legislation The Swedish Higher Education Act (SFS 1992:1434). The Higher Education Ordinance (SFS 1993:100)</p> <p>Organisational regulation The composition of the Academic Appointment Board is regulated in the university's work description for the Academic Appointment Committees (HV 2019/216). This document is only available in Swedish. The board has an action plan regarding gender mainstreaming and equal terms, which covers the period 2022 to 2024. The plan is to gain more knowledge and understanding of equal terms and gender equality, both on an overall level but also specifically, reviewing from pedagogical, scientific and collaboration perspectives.</p> <p>The composition of the Research and Education Committee (FUN) is regulated in the university's job description for the Research and Education Committee (HV 2018/1413 A 11) and Rules for appointment of members of the Research and Education Committee (FUN) and the department committees (HV 2022/25).</p> <p>The composition of the Subject council is regulated in the Rules and Guidelines for Research Education HV 2022/166.</p>	<p>Planned initiatives See Action no. 6.</p>

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		<p>Gaps</p> <p>It has been identified that members of recruitment groups do not always have adequate training for this. Although HR often reviews the recruitment process, it has been viewed as a gap.</p> <p>Members of selection panels should be adequately/better trained.</p> <p>For selection of doctoral students, there is a need for clarification on who should be included in the recruitment groups and who is responsible for giving feedback.</p>	
<p>15. Transparency (Code)</p>	<p>+/-</p>	<p>National legislation The Swedish Higher Education Act (1992:1434).</p> <p>According to the Higher Education Ordinance (SFS 1993:100) Chapter 2, §2, the University Board shall determine employment regulations (Sw. <i>anställningsordning</i>) that the university must apply, together with the rules of appointment and promotion of lecturers.</p> <p>Employment Ordinance (1994:373)</p> <p>Public Access to Information and Secrecy Act (2009:400)</p> <p>Organisational regulation The Public Access to Information Act also applies to recruitments.</p> <p>HV uses a web-based recruitment system (<i>Varbi</i>), which offers a standardised application process. Applicants are continually informed about the recruitment process by e-mail via <i>Varbi</i>. The system is also used for various internal promotion processes.</p>	<p>Planned initiatives See Action no. 7.</p>

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		<p>Applicants are informed, in the job advertisements as well as on HV's website (see point 12), about the guidelines for recruitment. Links to supporting documents and guidelines are referred to in job advertisements and in application forms.</p> <p>Gaps The Gap Analysis revealed that there are shortcomings in the feedback to candidates. The goal is that people who reach the interview stage should always receive personal feedback, but this is not always the case.</p>	
<p>16. Judging merit (Code)</p>	<p>++</p>	<p>National legislation The Public Employment Act (SFS 1994:260) §4 Merits and competence The Higher Education Ordinance (SFS 1993:100), chapter 4</p> <p>Organisational regulation Documents from recruitment processes are official/public documents according to The Public Access and to Information Act can be requested by anyone for transparency.</p> <p>The Employment regulations (2017/1632 A 21) and Guidelines of employment and promotion of teachers at University West (2018/487 A 21). These documents are currently under review and will be updated in the beginning of 2023; the link leads to the webpage that will contain the new document (https://www.hv.se/en/meet-university-west/job-opportunities/).</p> <p>HV's Employment regulations describes the recruitment process and the qualification requirements and basis of assessment for the different employment types. The Employment regulations together with the guidelines of employment and promotion of teachers HV detail general assessment criteria, starting points for assessing scientific and artistic skills, pedagogical skills and other relevant (e.g. industrial) skills.</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>For every position there are also general requirements of skills and/or experience for all applicants to fulfil. Such requirements are clearly stated in the job advertisements.</p> <p>The Academic Appointments Board ensures the quality of the recruitment processes at the University. The HR department, together with the Board, advises the recruitment groups during the recruitment process, to ensure that all applicants are judged on the same basis.</p> <p>External reviewers (experts within the research fields) are involved in most of the recruitments of researchers to assess the applicants' skills and experience from an objective point of view. The external review is conducted of one or two (depending on the position) senior researchers and aims to identify the most qualified candidates for the vacant position.</p> <p>The Swedish Council for Higher Education (UHR) offers assistance to international job applicants applying for academic jobs in Sweden.</p>	
<p>17. Variations in the chronological order of CVs (Code)</p>	<p>++</p>	<p>National legislation There are a number of acts and ordinances that cover this subject including:</p> <ul style="list-style-type: none"> • Employment Ordinance • Act on Public Employment • Discrimination Act <p>For employment, attention shall be paid only to objective factors such as merits and skills. Skills must be considered foremost unless there are specific reasons for doing otherwise.</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>Organisational regulation In accordance with Swedish legislation, time periods for sick leave, parental leave, work outside academia, military/civil service etc. may not be penalised. Applicants have a great freedom to refer to merits of their choice.</p> <p>Apart from the standardised forms to complete in <i>Varbi</i>, applicants submit their own CVs and letters of application. This leaves great freedom to the applicant to express their experience in their own way, e.g. evidence-based. However, career breaks should be explained, as stated in the instructions for application.</p> <p>Applicants may submit their CVs either in an evidence-based or time-based format. The time-based format is more common within academia.</p>	
<p>18. Recognition of mobility experience (Code)</p>	<p>++</p>	<p>National legislation See also points 10, 13, 16, 19, and 29.</p> <p>Instrument of Government Ch. 12 5§</p> <p>The Public Employment Act (1994:260) 4§ For employment, attention shall be paid only to objective factors such as merits and skills. Skills must be considered foremost unless there are specific reasons for doing otherwise.</p> <p>Employment Ordinance (1994:373) 4-5§ Assessment grounds for employment 6-8 § Procedures for employment.</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>Organisational regulation</p> <p>The university has identified a number of areas that are prioritised for the university's operational development in the coming years, one of these areas is internationalisation.</p> <p>In 2019 the university decided on a new direction in terms of internationalisation. (internationalisation strategy 2019-2023, HV HV 2019/26h).</p> <p>Some of the priorities in the strategy are:</p> <ul style="list-style-type: none"> • The proportion of researchers with international experience, collaboration and networks shall increase. Such experience shall be taken into account in recruitment and promotions. • The number of international publications and external applications for funds with international partners shall increase. • HV shall create conditions for advanced mobility for postgraduate students. • Internationalisation shall be a clear perspective in postgraduate studies. <p>HV also has a Strategic Internationalisation Council that works to strategically develop and coordinate internationalisation work at the university.</p> <p>Adjunction (Sw. adjungering) with other employers outside of the academic field or companies, as well as guest professorships and affiliations, are encouraged.</p> <p>Work-Integrated Learning (WIL) has been part of the university's profile since its beginnings in 1990. WIL is an integral part of the education, research and collaboration. In 2002, HV was commissioned by the Swedish government to develop forms for work-integrated learning as part of the work with pedagogical renewal of higher education.</p>	

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<p>19. Recognition of qualifications (Code)</p>	<p>++</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100) Ch. 2, § 2 states that the University Board shall set employment regulations that the university applies together with the rules of appointment and promotion of teachers.</p> <p>The Public Employment Act (1994:260) 4§ states that for employment, attention shall be paid only to objective factors such as merit and skills. Skills must be foremost unless there are specific reasons for doing otherwise.</p> <p>Organisational regulation The Employment regulations (2017/1632 A 21) and Guidelines of employment and promotion of teachers at University West (2018/487 A 21). These documents are currently under review and will be updated in the beginning of 2023; the link leads to the webpage that will contain the new document (https://www.hv.se/en/meet-university-west/job-opportunities/).</p> <p>These documents describe the recruitment process, the qualification requirements and basis of assessment for the different employment types. The employment regulations detail clear criteria for when and how the assessment of qualifications should be carried out and refers to national legislation.</p> <p>As stated in point 16, most recruitment processes contain external reviews made by external senior researchers within the research field in question. The external reviewer receives the University's regulations and guidelines before the review is carried out. Such review results in one (or two) written statement(s) where all applicants are presented and assessed as well as containing an overall judgement of who is/are most qualified for the position. The written statements are official documents, which can be requested by all applicants. External review as well as internal review is made in accordance with the employment regulations and the guidelines of employment and promotion of teachers at HV.</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>Before offering the employment to an applicant, the recruitment group must motivate why the applicant is most qualified for the position and how the recruitment process has been carried out. The Academic Appointment Board reviews all documentation of the process to assure the quality and advise the recruitment group of the next step.</p>	
<p>20. Seniority (Code)</p>	<p>++</p>	<p>National legislation The Instrument of Government The Public Employment Act Discrimination Act (SFS 2008:567) The Higher Education Act Chapter 2, § 2, the University Board shall set employment regulations (sw. anställningsordning) that the university applies. Collective Agreement for Post-doc positions</p> <p>Organisational regulation See also points 10, 12, 16 and 19.</p> <p>HV, as a state university, is bound by the Discrimination Act and the Higher Education Ordinance. HV has a number of steering documents and regulations which include different aspects of non-discrimination (see point 10).</p> <p>There are also the Employment regulations (2017/1632 A 21) and Guidelines of employment and promotion of teachers at University West (2018/487 A 21). These documents are currently under review and will be updated in the beginning of 2023; the link leads to the</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>webpage that will contain the new document (https://www.hv.se/en/meet-university-west/job-opportunities/).</p>	
<p>21. Postdoctoral appointments (Code)</p>	<p>+/-</p>	<p>National legislation Employment Protection Act 1982:80 (LAS) § 5</p> <p>Collective Agreement for Post-doc positions The agreement applies to employees employed as post-docs and who shall primarily carry out research. Teaching can also be included in the duties, but at most 20 per cent of working hours.</p> <p>A prerequisite for the application of this agreement is that the employee has not previously been employed as a post-doc under this agreement for more than a year within the same or related subject area at the same institution/authority.</p> <p>Organisational regulation At HV, the national collective agreement on post-doctoral positions is followed. See https://sulf.se/en/work-salary-and-benefits/post-doc/ for further information.</p> <p>Post-doctoral appointments are also regulated in the HV employment regulations and detailed in the Guidelines for employment and promotion of teachers. This includes the recruitment process with standardised routines and advertising templates that always include clear qualification requirements, project description, duties and length of employment.</p> <p>Gaps There appears to be a lack of clarity among some post-docs about the details of their appointments.</p>	<p>Planned initiatives See Action no. 8.</p>

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Working Conditions and Social Security			
<p>22. Recognition of the profession</p>	<p>++</p>	<p>National legislation The Swedish Higher Education Act 1992:1434, chapter 1, §6 and chapter 2 §6.</p> <p>Organisational regulation See also points 3, 4, 10, 19 and 21.</p> <p>Doctoral students at HV are employed on standard work contracts.</p> <p>All research staff at HV are recognised as professionals and treated accordingly at all levels of their careers. The career opportunities for teachers and researchers are presented on the internal HV website.</p>	<p>No gaps were identified in the gap analysis.</p>
<p>23. Research environment</p>	<p>++</p>	<p>National legislation The following national legislations govern, amongst others, health and safety issues at work and thereby at universities:</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977:1160) • The Work environment ordinance (SFS 1977:1166) • Discrimination Act (SFS 2008:567) • Social Insurance Act (SFS 2010:110) 	<p>No gaps were identified in the gap analysis.</p>

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		<ul style="list-style-type: none"> • Flammable and explosive goods act (SFS 2010:1011) • Flammable and explosive goods ordinance (SFS 2010:1075) • Protection against accidents act (SFS 2003:778) • Protection against accidents ordinance (SFS 2003:789) • The Environmental Code (SFS 1998:808) • Parental leave act (SFS 1995:584) <p>Organisational regulation See also points 7 and 24.</p> <p>Besides following the National legislation regarding the work environment, HV considers the following points as important for a stimulating research environment:</p> <ul style="list-style-type: none"> • All staff are provided with office space, as well as lab space, including all necessary IT facilities and telephone access. • Research staff have free-of-charge access to many different national and international databases and journals through the University Library. • Video conferencing facilities are available throughout the university in special rooms and individual computers supplied to staff contain video conferencing software. This enhances the researchers' flexibility regarding their own work and supports networking and worldwide collaborations. 	

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		<p>Research at HV is organised in five research environments. The university is currently in the midst of a strategic effort to re-organise its resources around a total of two “complete academic environments (KAMs)”, which will partly dissolve the current structure. This was decided by the university board in 2021 and the ambition is to launch these KAMs in 2023. The two KAMs are in the fields Production Technology and Work Integrated Learning. Strategic plans for each KAM have been drawn up and are accessible to all employees on the internal website.</p> <p>There is a major ongoing project for development of the campus environment. One aim is to better connect research with education and create more multipurpose environments to stimulate creativity.</p>	
<p>24. Working conditions</p>	<p>++</p>	<p>National legislation See also point 23.</p> <p>The following legislation covers working conditions in Swedish workplaces:</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977:1160) • The Work environment ordinance (SFS 1977:1166) • Discrimination Act (SFS 2008:567) • Social Insurance Act (SFS 2010:110) • The Environmental Code (SFS 1998:808) 	<p>No gaps were identified in the gap analysis.</p>

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		<ul style="list-style-type: none"> • Parental leave act (SFS 1995:584) <p>Sweden is renowned for its generosity in adapting work to the needs of family life. Paid maternity leave and paternity leave are governed by law. Researchers in the public sector with children have right to work part-time. This is regulated by the Parental Leave Act.</p> <ul style="list-style-type: none"> • Holiday allowances in Sweden are very generous, compared to other countries. The allowances vary between at least 25 and 35 days per year, depending on the age of the person. <p>Organisational regulation In addition to the national legislation, the following apply at HV:</p> <ul style="list-style-type: none"> • Access to university facilities for disabled researchers is governed by national legislation. HV has a plan for accessibility where such questions are handled (see point 10). For other researchers, it is the responsibility of the researcher's supervisor and the head of division to discuss solutions for accessibility and other necessary aids. • There are Safety Officers at each department, whose roles are partly to handle work environment questions. Many departments have organised groups where employees regularly discuss the working environment with the Safety Officers. • There is a safety committee at HV where the employer meets with the Safety Officers four times a year. The committee meets to assure and develop the quality of the working environment. • Research by nature is not a profession with standard working hours (e.g. "9 to 5") and HV allows great flexibility in working times. Such flexibility has to be agreed in advance with the researcher's line manager. There are local collective agreements that govern employees' working time that also offer flexibility in planning working time (agreements on working hours, available on the internal web). • Where necessary and depending on the type of research, teleworking is possible following agreement with the researcher's line manager. 	

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		<ul style="list-style-type: none"> • Secondments as well as adjunction (Sw. adjungering) with other employers outside of the academic field or companies, as well as guest professorships, are encouraged. Incoming guest professors are one way of bringing new perspectives and knowledge to HV, supporting staff in their efforts of outgoing mobility is another one. Grants and innovation office and the International Office inform about funding opportunities and support researchers during stays abroad. • On a regular basis, the university carries out a major employee survey that covers subjects including leadership, health, safety, discrimination, management, understanding of university goals, working environment etc. This gives the individual employee a chance to give an opinion. However, the results at an individual employee level are not identifiable. • HV has a close and valuable collaboration with the unions, regarding working environment. The collaboration exists both on a department and a university level. • HV has a close collaboration with the occupational health service. They provide support on working environment questions with groups as well as individuals. 	
<p>25. Stability and permanence of employment</p>	<p>++</p>	<p>National legislation Employment Protection Act (SFS 1982:80)</p> <p>There is a change to this act as from 1 October 2022 stating that a person may only be employed for a defined time on a special temporary employment (SÄVA). Like before there are no specific conditions for employment according to SÄVA. However, when a person has been employed with the support of the SÄVA in aggregate more than one year during the last five years, the employment is transformed by law to a permanent employment.</p> <p>Further, the following legislation covers employment in Sweden:</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>Employment Regulation (1994:373)</p> <p>Act 2002:293 prohibits discrimination against part-time workers and workers with fixed-term contracts</p> <p>Regulation of higher education (SFS 1993:100, chapter 4-5)</p> <p>The Swedish Higher Education Act (1992:1434)</p> <p>The Public Employment Act (1994:260)</p> <p>Organisational regulation HV follows Swedish employment legislation. Permanent employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below:</p> <ul style="list-style-type: none"> • Probationary period, not exceeding six months. • Special temporary employment (SÄVA). After one year of temporary employments (SÄVA) during a five-year period, employment becomes permanent. • Substitute employment. After two years of substitute employments (VIK), employment becomes permanent. • Seasonal work. • R1 researchers: all doctoral students are employed and are not on stipends. The salary levels for such researchers are fixed and have a standard progression based on performance targets. The salary levels are quite competitive. Doctoral studies in Sweden have a mandatory duration of four years, rather than three years in most other EU countries. Doctoral students are usually expected to devote 20 per cent of their time to teaching activities. All time devoted to teaching will extend the period of the doctoral studies. 	

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		<ul style="list-style-type: none"> • R2 researchers: HV has been striving to support the career of post-doc researchers. Therefore, HV has limited the short-term employment of recently graduated PhDs. Instead, HV has been striving to employ more post-docs (two-three years' employment) and associate senior lecturers (five years' employment with purpose of being promoted to permanent senior lecturers during the period). Both employments have the purpose of enabling career development for new researchers. • For R3 and R4 researchers, employment is usually permanent from the beginning, apart from a semi-mandatory probation period of six month (does not apply to professorial appointments). 	
<p>26. Funding and salaries</p>	<p>++</p>	<p>National legislation National collective agreements exist between employers and the unions SACO - S and OFR / S, P, O. that ensure researchers receive a contractual salary and equitable social security provisions.</p> <p>The social insurance system is an important part of the Swedish system. Swedish social insurance covers almost everyone who lives or works in Sweden. It provides financial protection for families and children, people with disabilities and illness, work injury and old age. For those not covered by the social insurance system, HV provides insurance through The Legal, Financial and Administrative Services Agency (Kammarkollegiet).</p> <p>Sweden offers very generous social security benefits for employees at all levels. Payment for sickness leave is between 80 and 90 per cent. Parental leave is about 90 per cent of the person's salary for a period of 365 days. See https://translate.google.com/translate?hl=en&sl=sv&u=https://www.arbetsgivarverket.se/jobbba-statligt/karriar-o-utveckling/Formaner-och-villkor/ for more details</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>Pension payments by the university are also generous, see https://www.spv.se/en/about-your-pensions/. The Swedish Pensions Agency administers and disburses the national pension, but also provides both general and individual information about pensions.</p> <p>Through Sweden's membership in the EU, EU citizens have the right to social security benefits in other EU countries.</p> <p>Unemployment benefits and help with unemployment are provided by the Swedish Public Employment Service.</p> <p>The Swedish Employment Protection Act (1982:80)</p> <p>Organisational regulation HV follows Swedish legislation and collective agreements. Doctoral students are employed for five years for PhD studies. This comprises 80 per cent research and 20 per cent teaching. Doctoral students have a salary and social benefits as previously described. The salary levels for such researchers are fixed and have a standard progression based on achieving performance targets. Doctoral studies in Sweden are based on four years' full-time research, rather than three years in many other EU countries.</p> <p>Salary analyses are conducted annually. Salary revisions are usually made on an annual basis and depend on agreements made with the unions represented at the university and at national level.</p>	

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<p>27. Gender balance</p>	<p>+/-</p>	<p>National legislation For legislation, see point 10.</p> <p>The Higher Education Act states that higher education institutions should always observe and promote gender equality and gender balance.</p> <p>The Swedish Government has assigned HV with a recruitment goal for female professors of 48 per cent during the period 2021-2023.</p> <p>Swedish Gender Equality Agency (https://www.jamstalldhetsmyndigheten.se/en) contributes to effective implementation of Swedish gender equality policy. The work of the agency requires close cooperation with other government agencies, municipalities, county councils, regions, civil society and business and industry. The main task of the gender equality agency is to coordinate, follow up and provide various forms of support regarding gender equality.</p> <p>Organisational regulation The most recent full statistical data informing on gender balance levels at HV are (in FTE):</p> <ul style="list-style-type: none"> • All employees: 62% female, 38% male • Research and teaching personnel: 57% female, 43% male (not including third-cycle students) • Doctoral students: 62% female, 38% male • Professors: 33% female, 67% male • Administrative and technical personnel: 68% female, 32% male. <p>HV has a Gender Mainstreaming Plan that describes the national and university goals of gender work. Activities and indicators will be agreed by HV's management towards the end of 2022. The plan clearly highlights career development as an important focus area. The new plan also states that HV should always aim for an equal representation (at least 40-60 per</p>	<p>Planned initiatives See Action no. 9.</p>

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		<p>cent women and men) in all employee categories as well as in its collegiate bodies. Departments having less than 20 per cent females must now produce an action plan to increase the percentage.</p> <p>More information regarding non-discrimination with regards to gender balance can be found under point 10.</p> <p>Gaps Purposeful and systematic work with equal opportunities and gender mainstreaming is a prerequisite for the university's ability to attract, recruit, develop and retain qualified competence. However, gender balance work extends beyond just percentages and includes changing of cultural attitudes and understanding the bases of gender bias. It is these processes that are essential to effective gender mainstreaming activities.</p> <p>Some structures within the university are still very gender segregated with women and men working in different academic fields and positions (also in the HV Gender Mainstreaming plan (HV 2022/520)). Furthermore, the Swedish Government has assigned HV with a recruitment goal for female professors of 48 per cent (from a current level of 33 per cent) by the end of 2023.</p> <p>There is a need for training programmes on gender equality and anti-discrimination, particularly as part of manager training and for recruitment/selection committees. This will involve other functions and roles such as academic leaders, chairpersons and members of academic committees, staff, doctoral students and their supervisors. Gender balance in selection and evaluation committees needs to be achieved.</p>	

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<p>28. Career development</p>	<p>+/-</p>	<p>National legislation See also points 12, 29 and 30.</p> <p>The Higher Education Ordinance (SFS 1993:100), chapter 6, §28, 29 Section 29 states that an individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and his/her supervisors. The individual study plan shall be reviewed regularly to the extent required after consultation with the doctoral student and his/her supervisors. Such grounds may comprise leave of absence because of illness, leave of absence for service in the armed forces or an elected position in a trade union or student organisation, or parental leave.</p> <p>Organisational regulation All employees at HV have the right to at least one annual individual development dialogue with their immediate supervisor/manager together with the Director of Studies.</p> <p>The departments set aside a total of 20 per cent of the total annual working time for skills' development. Each teacher, regardless of employment category, normally has at least 10 per cent and can apply for additional time in needed. The time is planned and followed up at least once a year or as necessary. The competence development of teachers and researchers is regulated in the local working time agreement.</p> <p>HV offers career guidance and training for teachers (to be promoted or to be appointed associate professor (docent)).</p> <p>The unit that works with Teaching & Learning in Higher Education (TLHE) runs courses and various forms of educational activities to develop the quality of all teaching at University West.</p>	<p>Planned initiatives See Action no. 10.</p>

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		<p>A course in academic/research leadership is offered to employees at R2/R3 level together with the University of Borås and University of Skövde.</p> <p>For all levels of researchers, various complementary courses are available, e.g. grant writing, entrepreneurship, statistics etc. Upon request, media training programmes are available for researchers to learn how to handle media requests.</p> <p>A number of internal documents regulate career development for doctoral students at HV:</p> <ul style="list-style-type: none"> • HV 2020/675 Rules and regulations for education on Doctoral level. • U 2021/814 General syllabus for doctoral education in Work Integrated Learning • U 2021/815 General syllabus for doctoral education in Production Technology. <p>Gaps It is apparent that there are gaps in career development. There is a great variation between department and supervisor.</p> <p>Career planning seems to work in theory but not in practice and there are different views that are clearly R-level related. For instance, the Doctoral Barometer (R1 researchers) indicated that the career development advisory process is not working sufficiently well.</p> <p>Access to mentors is also an area that depends on department and supervisor. Everyone should have the right to a mentor but this is not the case and it appears to be harder for female researchers to get mentors.</p>	
<p>29. Value of mobility</p>	<p>++</p>	<p>National legislation See also points 10, 12, 16, 18, 19, and 27.</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>The following legislations apply:</p> <ul style="list-style-type: none"> • Act (1974:981) on workers' rights to time off for studies (Study Leave Act) • Act (1997:1293) on the right to time off to conduct business • Act (2008:565) on the right to leave in order to, because of illness, try another job • Leave for employees in the governmental sector - for employees of authorities subordinated the government are special rules in the Ordinance respecting Leave of Absence (1984:111) and in collective agreements. Ordinance respecting Leave of Absence also includes rules of right to leave for governmental employees during service abroad. <p>In May 2022, the Swedish government commissioned a study of how university-based research and teaching could be combined with work in business and welfare (). The results of this study, expected at the end of 2022, could pave the way for new funding modalities in this sector.</p> <p>Also in May 2022, the government commissioned a study to review possible obstacles to mobility between higher education and other sectors</p> <p>Organisational regulation HV's International Strategy 2019-2023 (HV 2019/265) clearly states the value of mobility. Internationalisation is deemed a prioritised area for development and funding has been allocated to support mobility projects in different forms.</p> <p>All employees have the possibility to participate in different staff exchange programmes within the EU and with some associated countries. Most departments at HV have assigned one responsible coordinator for internationalisation. The Strategic Internationalisation</p>	

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		<p>Council at HV works to strategically develop and coordinate internationalisation work at the university (see point 18).</p> <p>HV also supports staff in their efforts of outgoing mobility. Grants and innovation office (GIO) and the International Office inform about funding opportunities and support researchers during stays abroad. GIO supports researchers in writing proposals for outgoing and incoming researchers.</p>	
<p>30. Access to career advice</p>	<p>--</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100), chapters 4, 5, 6</p> <p>Organisational regulation R1 researchers also have frequent contact with researchers working in other sectors, disciplines and countries, which gives them a potential overview of potential career paths.</p> <p>In the Individual Study Plan that is required for R1 researchers, future career paths are discussed between the doctoral student and the supervisor at each point of revision (annually). Point 11 in the ISP. Rules and Guidelines for research education. HV 2022/166</p> <p>While career advice to R1 level researchers at HV is largely in place, there are currently no overarching structures in place for career advice at higher levels. There is no centralised service available either.</p> <p>In addition, a number of unions with university personnel as members offer career advice, e.g. the Swedish Union of University Graduates of Law, Business Administration and Economics, Computer and Systems Science, Personnel Management, Professional Communicators and Social Science, and the Swedish Association of Professional Scientists.</p>	<p>Planned initiatives See Action no. 10.</p>

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		<p>Careers for researchers span many different areas – academia, academic administration, industry/private enterprises, European Commission/WHO and such, banks such as World Bank, NGOs, healthcare, teaching etc. It is important for researchers to understand what choices are available to them. It is also important that researchers wishing to remain within academia are offered a natural career pathway.</p> <p>Gaps This area was the most major of all the gaps identified. The availability of career advisory services at HV needs to be investigated and resolved.</p>	
<p>31. Intellectual Property Rights</p>	<p>++</p>	<p>National legislation See also point 5.</p> <p>Act (1949: 345) on the Right to Employee Inventions</p> <p>The Swedish Higher Education Act (1992:1434 §3a)</p> <p>Principles for managing intellectual property in research agreements issued by the Association of Swedish Higher Education Institutions is recommended as praxis for Swedish higher education institutions.</p> <p>The exemption for teachers, applicable in Swedish higher education institutions, applies with regard to patentable inventions. Researchers are exempted from otherwise enforceable principles in the 1949 law on the right to an employee's inventions. As a starting point, a researcher therefore has full ownership rights to their research results, unless another agreement has been reached. According to custom, this exemption has been extended to cover copyright-protected material.</p>	<p>No gaps were identified in the gap analysis. However, further internal communication regarding IPR is handled in activities in point 5.</p>

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		<p>Organisational regulation See also activities under point 5.</p> <p>HV follows Swedish legislation and encourages employees to consider protection of intellectual property rights for their research. Internal support in these matters is provided by the Grants and Innovation Office.</p> <p>During the course of carrying out the Gap Analysis, it became obvious that HV should consider an IPR Policy. This has been discussed in the past and has been proven to be less than straightforward. The lack of an IPR Policy has not been flagged as a gap but will probably be included in the second-period HRS4R Action Plan. A number of basic negotiations need first to be carried out and the opinions of the new incoming Vice-Chancellor need to be taken into account.</p>	
<p>32. Co-authorship</p>	<p>+/-</p>	<p>National legislation There is no Swedish legislation regarding co-authorship in research. As a response to the recommendation of the European Commission in April 2008 on the management of intellectual property in knowledge transfer activities and Code of Conduct for universities and other public research organisations, the Association of Swedish Higher Education (SUHF) has developed "Principles for handling intellectual property in research agreements". This is recommended as praxis for Swedish Higher Education Institutions.</p> <p>Organisational regulation HV strives to follow the recommendation in the Vancouver Convention as regards co-authorship (see https://bibliotek.hv.se/en/research-support/publishing/#co_publish):</p>	<p>Planned initiatives See Action no. 11.</p>

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		<p>One of the main standards for publishing and authorship is the so-called The Vancouver Rules. According to these rules, four requirements must be met in order to be classified as a co-author:</p> <ul style="list-style-type: none"> • The co-author has provided tangible and intellectual ideas for the project's idea and design or contributed to the data collection. • The co-author has written/edited the draft. • The co-author has approved the article prior to publication. • Establish an agreement whether the author is responsible for all aspects of the work. This is to ensure that issues related to the accuracy or integrity of all parts of the work are investigated and resolved in an appropriate manner. <p>When a doctoral student applies for a thesis/dissertation, a statement of co-authors for the articles included in the thesis/dissertation is always attached to the application.</p> <p>In internal promotion applications, the applicant must state own inputs in all publications.</p> <p>Gaps The gap analysis showed the need for clearer internal guidelines, and better communication of such.</p>	
<p>33. Teaching</p>	<p>+/-</p>	<p>National legislation The Swedish Higher Education Act (1992:1434) Chapter 3 §2 For education and research, there shall be professors and lecturers employed as teachers at the higher education institutions.</p> <p>The Higher Education Ordinance (SFS 1993:100), chapter 5, section 2</p>	<p>Planned initiatives See Action no. 12.</p>

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		<p>Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.</p> <p>Collective Agreement for Post-doc positions The agreement applies to employees employed as post-docs and who shall primarily carry out research. Teaching can also be included in the duties, but at most 20 per cent of working hours.</p> <p>Organisational regulation HV is aiming to build complete academic environments, where teaching and research are of a high standard. Teaching is therefore essential for all academic staff and is encouraged at all levels.</p> <p>Work Time Contract (HV 2013/1110 A 14) Regulates the working time for all teaching and researching employees (R2-R4). The contract is available for all employees at the internal website and is available upon request.</p> <p>The level of involvement in teaching for R2-R4 researchers is not regulated and depends on the terms of employment for the researcher in question and individual wishes. The head of division together with the employee agrees the percentage of teaching for each academic year.</p> <p>According to the Work Time Contract, all professors (R4) shall devote most of the work time to research and research education. However, all R4 researchers are also expected to carry out some level of teaching. Some professors have a greater amount of teaching than others.</p>	

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		<p>All R2-R4 researchers have at least 10 per cent knowledge/competence development time, which is expected to be devoted to their own development (Work Time Contract).</p> <p>At HV, the time that R3 and R4 researchers spend supervising R1 (and R2) researchers is calculated as research time, not teaching time. This system is applied at most Swedish universities and is therefore regarded as national praxis.</p> <p>Aim is that everyone is involved with teaching, in Swedish and English. Most teaching at advanced levels is in English.</p> <p>Gaps Problem for R2 and some R3 researchers is that there is so much teaching that there is little time for research.</p> <p>Teaching time is sometimes used for co-financing in externally financed projects. This reduces the amount of time available for development.</p>	
<p>34. Complaints / appeals</p>	<p>+/-</p>	<p>National legislation Various articles of national legislation and guidelines cover complaints and appeals:</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977:1160) • Systematic work environment activities (SAM) regulations (AFS 2001:1) • Organisational and social working environment (AFS 2015: 4) • Discrimination Act (SFS 2008:567) 	<p>Planned initiatives See Action no. 13.</p>

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		<ul style="list-style-type: none"> • Act on specific protection against victimisation of employees reporting on serious deficiencies (2016:749) • The Higher Education Ordinance (SFS 1993:100), chapter 12, § 2 <p>This paragraph lists the types of decisions of the public university (as public authority) that give grounds for appeal, including the recruitment process of staff, there is an appeal process against the process of the appointment, and the appointment <i>per se</i>. This does not apply to doctoral student positions.</p> <ul style="list-style-type: none"> • The Public Administration Act (1986:223) describes the complaints procedure itself in case of a complaint based on the Higher Education Ordinance (1993:100), chapter 12 §2. <p>Organisational regulation The internal document HV 2022/259 Guidelines for processing appeals describes the appeal process.</p> <p>At HV, there are a number of channels for handling complaints, appeals and grievances.</p> <p>For example:</p> <ul style="list-style-type: none"> • There is a student ombudsman to whom R1 researchers can address complaints. There is also a Doctoral Student Council and a Director of Studies. • R1 researchers can also take up their grievances with the doctoral student section of the Student Union. • R1 researchers also have the right, after providing motivation, to exchange their supervisor (see also point 36). 	

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		<ul style="list-style-type: none"> • During the recruitment process of staff, there is an appeal process (also national) against the process of the appointment, and the appointment per se. This does not apply to doctoral student positions. • There is a Working environment policy at HV, which is followed up during individual annual appraisals and during the regular employee surveys. • There is an Equal opportunities policy where complaints are handled by the university lawyers. • The HR office provides support in cases of conflict, as does the occupational health service at the university. • There is a new anonymous whistleblower function on the HV website. <p>Gaps Processes are not generally known. Better information and communication are necessary.</p>	
<p>35. Participat- ion in decision- making bodies</p>	<p>++</p>	<p>National legislation The Swedish Higher Education Act 1992:1434 chapter 2 §6 The Higher Education Ordinance (SFS 1993:100) Chapter 2, §7a</p> <p>Organisational regulation Collegially elected governing bodies/Faculty boards govern HV at all levels. Academic staff are eligible for election and are encouraged to participate. Students, including doctoral students, have the right to be represented in all elected governing bodies at HV. This structure is regulated in Rules of Procedure at the University (2018/1343 A 21)</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>Participation in decision-making bodies is seen as a merit by HV. The main problem for participation is lack of time among the researchers, rather than lack of opportunity, and the fact that Swedish is the working language.</p> <p>As a researcher at HV, it is possible to become involved with decision-making bodies at many levels:</p> <ul style="list-style-type: none"> • Becoming a member of the board of the doctoral student council. • Representation (collective) on a faculty board. • Becoming a member (through voting) of the university board (collective). • Becoming a safety officer, with responsibility for safety and the working environment (including psychosocial). <p>An internal document, HV 2020/782 Guidelines for student influence at HV, covers students and research students (R1).</p>	
Training and Development			
<p>36. Relation with supervisors</p>	<p>++</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100), chapter 6, §28, §29</p> <p>An individual study plan (ISP) shall be drawn up for each doctoral student.</p> <p>At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student is entitled to supervision during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30 of the ordinance. A doctoral student who so requests shall be allowed to change supervisor.</p> <p>Organisational regulation</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>For doctoral education at HV, there is a General Study Plan that describes the content of the education, its aims and goals, admission, structure, supervision, examination and otherwise regulate how the programme is conducted.</p> <p>In an Individual Study Plan (ISP) the doctoral student, the supervisors and agree on the content of the doctoral education. It shall be drawn up within 60 days from the starting date for the doctoral student and reviewed at least once a year. The purpose of the study plan is to systematise the education activities and the progression and learning outcomes throughout the doctoral studies. All doctoral students at HV have an appointed supervisor and at least one assistant supervisor. The relation between doctoral students enrolled at HV and their supervisors is described in the Rules and Guidelines for research education (HV 2022/166). This document contains the rights and obligations of doctoral students and their supervisors. It describes handling of problems arising with the supervision. Doctoral students always have the right to change supervisors. See also point 40. Within each area with doctoral degree education, there is a director of studies to whom doctoral students can turn with issues related to the specific programme. Directors of studies are responsible for ensuring that the studies are followed up at least once a year and they also participate in the follow-up meetings. Questions concerning the work environment and labour legislation are however the responsibility of the head of department, to whom both doctoral students and supervisors can turn. The dates of the meetings between the doctoral students and the heads of departments are also followed up in the ISP.</p> <p>Professional supervisor and research management training programmes are offered to all teaching staff at HV holding a PhD, together with the Universities of Borås and Skövde. In addition, local unofficial Supervisor Colleges offer PhD supervisors within the PhD programme of informatics possibilities to exchange experiences and to participate in seminars related to supervision.</p>	

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<p>37. Supervision and managerial duties</p>	<p>++</p>	<p>National legislation Legislation is discussed in point 36.</p> <p>Organisational regulation See also point 36. The relationship between doctoral students enrolled at HV and their supervisors is described in the document "Regler och riktlinjer för utbildning på forskningsnivå" (Rules and guidelines for research education) HV 2022/166.</p> <p>There are two local Supervisor Colleges at HV that organise regular courses to train supervisors. The colleges include senior researchers and representatives of R1 researchers at the university.</p>	<p>No gaps were identified in the gap analysis.</p>
<p>38. Continuing Professional Development</p>	<p>+/-</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100), Chapter 6, §29</p> <p>Organisational regulation See also points 28 and 39.</p> <p>At HV, continuing professional development is encouraged and is seen as a merit in future employments.</p> <ul style="list-style-type: none"> • There is a monthly seminar series from the support units to inform researchers about support they can receive. This series addresses for example project management and strategy development for research, collaboration, entrepreneurship, communication, funding, project management, and career planning. 	<p>See Action no. 14.</p>

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		<ul style="list-style-type: none"> • New courses and training available to researchers are continually under development. New courses can be developed both at the request of researchers or as a national requirement. • R3 and R4 level researchers are given time to devote to professional development. • Researchers can apply for funds, internal and also Erasmus funds obtained by the university, to attend external courses and seminars. <p>Gaps The process works in theory but not practice. Better dissemination of available courses is necessary.</p>	
<p>39. Access to research training and continuous development</p>	<p>+/-</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100), Chapter 6, §29</p> <p>Organisational regulation This point is closely related to points 28 and 38 and is discussed under point 38. The relation between doctoral students enrolled at HV and their supervisors is described in the Rules and Regulations for education on doctoral level, HV 2022/166.</p> <p>Gaps See point 38.</p>	<p>See Action no. 14.</p>
<p>40. Supervision</p>	<p>++</p>	<p>National legislation Legislation is discussed in point 36.</p> <p>Organisational regulation</p>	<p>No gaps were identified in the gap analysis.</p>

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		<p>For doctoral education at HV, there is a General Study Plan HV 2016/1419 that describes the content of the education, its aims and goals, admission, structure, supervision, examination and otherwise regulate how the programme is conducted. Each doctoral student shall have at least two appointed supervisors, one of them as the principal supervisor and one or several as co-supervisors. The principal supervisor should be either a docent or a professor and should have doctoral supervisory training. Both the principal supervisor and co-supervisors should be well acquainted with the subject of the thesis. The Subject committees appoint the supervisors and ensure that they meet the requirements. Doctoral students are entitled to a total of 10 per cent of a full-time equivalent of supervision (including the supervisor's preparations), distributed over the entire period of study.</p> <p>All doctoral students follow a programme that is continuously updated in consultation with the supervisors, whose responsibility is to support, discuss, read and critically review the doctoral student's work, as well as guide them in their efforts in order to reach the intended learning outcomes.</p> <p>In the Individual Study Plan (ISP) the doctoral student and the supervisors agree on the content of the doctoral education. It shall be drawn up within 60 days from starting date of the doctoral education and reviewed at least once a year.</p> <p>Activities related to points 36, 37 and 40 are discussed jointly under point 37.</p>	