



Female Empowerment in Science and Technology Academia

WP4.2 EXPERT REPORT 4.4

**Guidelines for designing and implementing changes in
informal decision-making and communication processes to
improve transparency and inclusivity**



- Grant agreement: 287526
- Title: Guidelines for designing and implementing changes in informal decision-making and communication processes to improve transparency and inclusivity
- Authors:
Fondazione Bruno Kessler: Alessandro Rossi, Liria Veronesi, Marco Zamarian
Istanbul Teknik Universitesi: Gülsün Sağlamer, Mine G. Tan, Hülya Çağlayan,
South-West University 'Neofit Rilski': Georgi Apostolov
Uppsala University: Nina Almgren
- Reviewers:
RWTH Aachen University: Sabine Bausch
University of Limerick: Pat O'Connor, Clare O'Hagan
Uppsala University: Minna Salminen-Karlsson
Pennsylvania State University: Eileen Trauth (scientific advisor)
- ISBN: 978-87-93152-16-8
- Expert Report Number: FESTA-2016-009
- Publication date: November 2016
- FESTA is an EU- Framework 7 funded project under: SiS.2011.2.1.1-1
Implementing structural change in research organisations/universities
Homepage: www.festa-europa.eu
- Coordinator: Minna Salminen-Karlsson, Uppsala University

External document.

ABSTRACT

This deliverable presents the second phase of the WP4.2 on the informal decision-making and communication processes. It aims to propose policy changes that might impact such processes when their informal nature represents obstacles hindering their inclusivity and transparency.

The report illustrates the way we designed and implemented changes in the target institutions detailing each step we took: the analysis of the informal decision-making and communication processes, the identification and implementation of policies, and their evaluation, following both a process-based and a result-oriented approach. Finally, the report provides a set of lessons learnt and a set of recommendations to follow when similar analysis is going to be undertaken in similar contexts.

WP4.2 EXPERT REPORT 4.4

Guidelines for designing and implementing changes in informal decision-making and communication processes to improve transparency and inclusivity

Authors

Alessandro Rossi, Fondazione Bruno Kessler
Liria Veronesi, Fondazione Bruno Kessler
Marco Zamarian, Fondazione Bruno Kessler
Gülsün Sağlamer, Istanbul Teknik Universitesi
Mine G. Tan, Istanbul Teknik Universitesi
Hülya Çağlayan, Istanbul Teknik Universitesi
Georgi Apostolov, South-West University “Neofit Rilski”
Nina Almgren, Uppsala University



Female Empowerment in
Science and Technology Academia



TABLE OF CONTENTS

- 1. INTRODUCTION 1

- 2. FROM THE MONITORING OF INFORMAL PROCESSES TO THE IMPLEMENTATION OF POLICIES 3
 - 2.1. Monitoring of the informal decision-making and communication processes..... 3
 - 2.2. The identification and implementation of policies..... 4
 - 2.3. The evaluation of policies..... 5
 - 2.4. Policies identification and implementation: the form used to collect related information 6

- 3. POLICIES AIMED AT IMPROVING COMMUNICATION AND DECISION-MAKING PROCESSES 8
 - 3.1. Classifying the goals and the strategies to increase transparency and inclusivity in communication and decision-making processes 9
 - 3.1.1 The goals 9
 - 3.1.3 The strategies..... 10
 - 3.2. An overview of the policies..... 13

- 4. EVALUATION OF THE POLICIES 16

- 5. LESSONS LEARNT AND RECOMMENDATIONS..... 21
 - 5.1. Lessons learnt 21
 - 5.2. Recommendations..... 22

- APPENDIX 24

1. INTRODUCTION

Work Package 4.2 of the FESTA project aims to analyse informal communication and decision-making processes (processes which are not informed by specific formal regulations, such as State laws, internal statutes, procedures and other regulatory sources) and to propose policy changes that might impact such processes when their informal nature poses obstacles hindering the participation of women and other minorities in academic or research institutions. Namely, the goal of this Work Package is to:

- increase transparency and inclusivity in informal decision-making and communication processes occurring in the various research bodies (teams, departments, faculties, etc.);
- enable/create an enduring transformation of the organisational culture that should favour a more active participation of women in all the decision-making and communication processes.

We build on the assumption that one of the main reasons for the evident gender divide in academia is the relative lack of participation by women, and their tendency to be locked out of inner groups governing many critical processes by means of informal decision-making. Examples of informality in critical processes abound in academia and they share the common element of preceding and informing subsequent, formal steps. Decisions about fund allocation for personnel recruitment, allocation of personnel to research projects, definition of agendas for formal meetings, for instance, are all characterised by this dual process in most of the institutions we are familiar with. Formal steps in these decision-making processes are always present, but typically in the form of a ratification of decisions partly taken outside the official channels¹.

Informal processes are pervasive in the life of all kinds of organisations and special attention should be paid to these processes in academic institutions, both because informal norms can have an ambiguous relationship with formal policies aimed at transforming the organisations themselves, and because academic institutions often aim at fostering a participative and democratic inclusion of its members in their governance. As our goal is to promote effective change, we designed the tasks of this Work Package sequentially, starting with an analysis phase and then moving to a policy-making phase.

In the first stage (2013-2015)² we directed our efforts towards two intermediate goals:

- establishing an operational methodology for analysing the informal communication and decision-making processes of the basic (research and teaching) units of our target institutions;
- formulating policy amendments aimed at changing the status quo in situations where participation and transparency were lacking.

In this second phase (2015-2016), our work was directed towards the implementation of those policies, previously identified, and towards the evaluation of the process and outcomes of their implementation.

We decided to continue using participative techniques, involving the members of our research case studies in both efforts. We believe that a direct involvement of actors at the research unit/department level is crucial because of their high contextual knowledge, which is necessary when trying to understand the informal communication and decision-making processes and policies aimed at increasing their inclusivity and transparency.

The structure of this deliverable is as follows. Next section illustrates the way we designed and implemented changes in the target institutions and introduces each step we took, from the monitoring of the informal decision-making to the identification and implementation of policies and to their evaluation. For each step of the process we point out related specific warnings. Section 3

¹ For a literature review see Veronesi L. *et al.* (2015) Expert report WP4.2: 'Methodologies and measures for analysing informal decision-making and communication processes', www.festa-europa.eu/public/42-methodologies-and-measures-analysing-informal-decision-making-and-communication-processes.

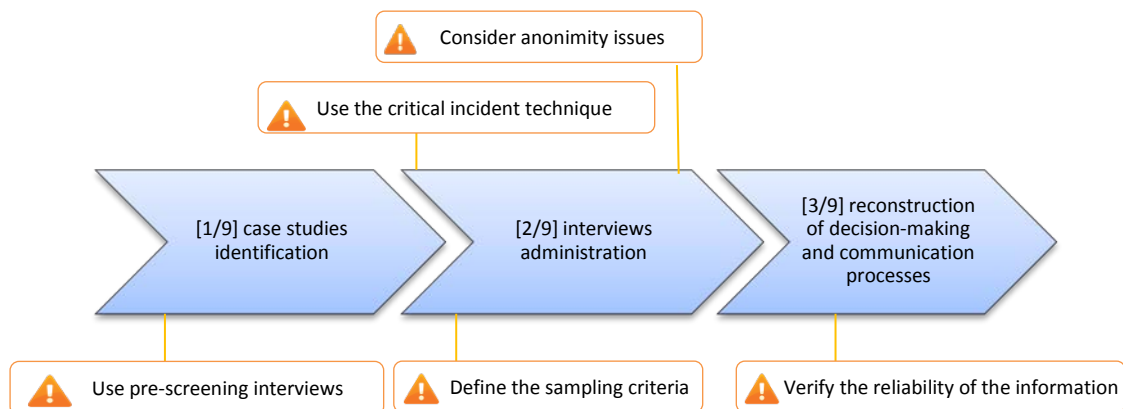
² See above, Veronesi *et al.* (2015).

presents the policies implemented in the case studies, aimed at improving the inclusivity and transparency of the decision-making and communication processes. In order to offer a comprehensive overview, we categorised the implemented policies along two dimensions, the first characterising a break-down of the goals into operational sub-goals, the second underscoring the strategies. A tutorial of the categorization process is also illustrated. In section 4 we describe the process undertaken by partner institutions in the evaluation of the implementation of the identified policies, according to two different approaches, namely “process-based” and “result-based” evaluation. Finally, we present a set of lessons learnt, deemed particularly significant in our experience, and a set of recommendations we suggest to follow when similar analysis is going to be undertaken in similar contexts. Moreover, in the appendix, we provide a detailed overview of each policy with reference with related specific aims, actions, actors involved, approach adopted during the identification and implementation phase, and evaluation.

2. FROM THE MONITORING OF INFORMAL PROCESSES TO THE IMPLEMENTATION OF POLICIES

This section intends to offer insight on the way we designed and implemented changes in each partner institution by way of devising policies and implementing specific actions addressed at improving decision-making and communication processes. Overall, the series of steps we took in order to achieve such a goal can be structured into three main parts, as chronologically described below: the monitoring of the informal decision-making and communication processes; the identification and implementation of actions/policies; the evaluation of the outcomes of the policies. For each step of the process (in the blue arrows) we point out several related warnings (in the orange boxes) in order to provide further methodological directions.

2.1. Monitoring of the informal decision-making and communication processes



[1/1: case studies identification] During this phase each partner identified several **case studies** - either research unit or department – according to specific criteria related to the organizational peculiarities of each institution. The adoption of a case study approach allowed for empirical enquiry that investigates complex issues, emphasizing detailed contextual analysis of a limited number of events/conditions and their relationship.

! *Recommendation:* **Pre-screening interviews** with relevant actors in key organisational positions are helpful to obtain strategic information on the organisational structure and suggestions on significant participants, critical areas and specific units to be investigated.

[2/9: interviews administration] With the members of the targeted units/departments we performed semi-structured in-depth **interviews** in order to reconstruct the actual practices of information exchanges and informal decision-making within their unit/department. In this way, we also collected data about their perceptions of inequality in the access to information and in decision-making practices. Partners agreed on the interviews guidelines and, in addition to a common set of questions, they added key questions for grasping the spirit of what was going on at each specific institution; for instance, some interview items were unique in order to account for different missions of the institution or for different position/role held by the interviewees.

! *Recommendation:* According to the size of the chosen case study, define the **criteria for sampling interviewees**; you might need to select all the staff belonging to the selected unit or, conversely, to identify few specific key informants within it. Try to find both those persons who are aware of the informal processes (not all are) and those persons who have been disadvantaged by them and can tell about it, even if they might not know what kind of decision process led to the disadvantaging result.

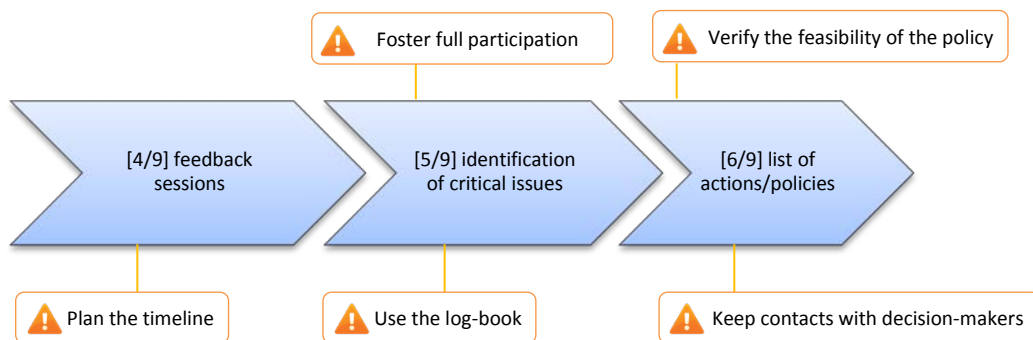
! *Recommendation:* The topic under investigation can be touchy and interviewees can avoid to openly talk about it. The use of the **critical incident technique**³ (and appropriate questions) helps to uncover existing events/processes and to support the respondents to identify those actions, decisions and information that lead to the specific explored circumstances.

! *Recommendation:* Take into account, well in advance, **anonymity issues** when dealing with interviews and make anonymity criteria explicit to the interviewees – who may feel reassured by them and more willing to talk openly.

[3/9: reconstruction of decision/making and communication processes] The information gathered with the interviews allowed us to **reconstruct the informal processes** of the relevant decisions made within the unit/department and communicated to their staff and allowed us to more clearly point out gender issues. Established networks in the investigated processes were identified as well as the role of each individual within them; specific members were also recognized as targets of inclusion/exclusion. Aspects of possible lack of transparency were pointed out, too.

! *Recommendation:* in order to verify the **congruence of the points of view** collected with the interviews, statements provided by one respondent need to be compared and cross-referenced with what is referred by other interviewees so that information is reciprocally tested and proved.

2.2. The identification and implementation of policies



[4/9: feedback sessions] Each partner presented and discussed the outcome of the mapping of the informal communication and decision-making processes during **feedback sessions** (meetings organized with relevant actors within each institution). Such sessions aimed, in particular, at informing participants about the main results of the monitoring, raising awareness on the main concerns related to specific decision-making and communication processes; fostering dialogues within the unit/department on possible organizational changes and shared actions aimed at increasing transparency and inclusivity, when relevant. The feedback sessions took different forms in different institutions (plenary sessions, closed meetings, strategic meetings, etc.); each partner moreover had specific implementations in terms, for instance, of the profiles of the participants to invite, the material/hand-outs to use, and how to manage the discussions.

! *Recommendation:* Activities aimed at people engagement – both as interviewees and as participants to the feedback sessions – are time-consuming; plan your **timeline** well in advance and be prepared to make changes.

³ The critical incident technique is a mechanism to encourage interviewees to stop and think about a specific experience/fact/event/process, and the feelings they experienced in relation to it [Chell, E. 2004 Critical incident technique. In, Cassell, Catherine and Symon, Gillian (eds.) *Essential Guide to Qualitative Methods in Organisation Studies*. London, UK, Sage, 45-60].

[5/9: identification of critical issues] During each feedback session organized with the case studies, the involved actors discussed the emerged **critical issues** in term of transparency and inclusivity of the processes of decision-making and communication and, more in general, critical areas related to the working environment. We considered the feedback sessions as a tool for guided policy formulation as they allowed for direct feedback, providing occasions for reflections and self-reflection, and supported a process for co-designing policies by engaging different actors and thus improving active participation.

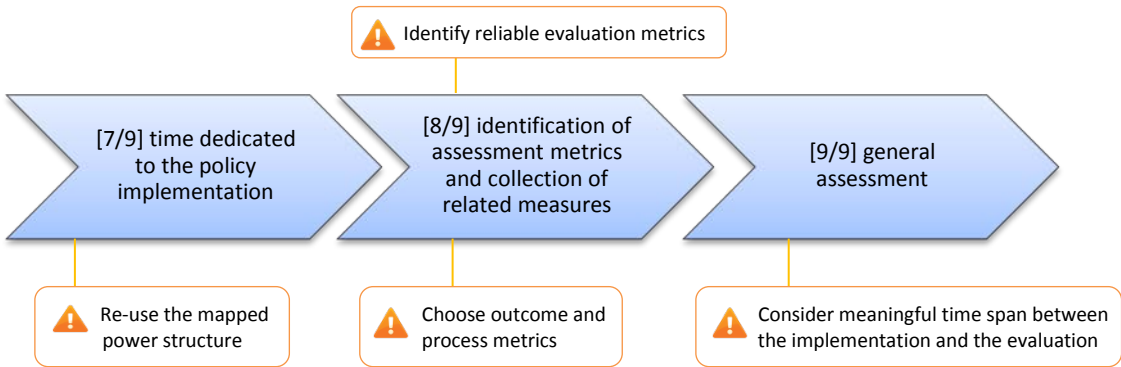
! *Recommendation:* According to the specific context, find the most suitable way to foster **full participation** of each attendee at the meeting. This constitutes the ground for a shared process of guided policy formulation and its successful implementation.

! *Recommendation:* In order to keep track of the feedback sessions, we prepared a **log-book**, filled in by each partner, in order to register and structure relevant data/information into pre-organised categories. It helped to identify the connections between the outcomes of the mapping of decision-making and communication processes, on one hand, and the proposed actions, on the other hand (see further details in the deliverable D4.3, Veronesi L. *et al.*, 2015)⁴.

[6/9: list of actions/policies] The outcome of the feedback sessions was a **list of actions/policies** to be implemented in order to address the discussed critical issues. The definition and design of policies were then defined with relevant actors, mainly decision-makers at different levels, together with the FESTA team who had the role to constantly stay in contact with them, keeping their attention and maintaining their endorsement on the task. Actions varied greatly, both within and between the institutions, according to the critical issues to be addressed, the organizational and cultural context, the approach strategies of the involved decision-makers and the resources and tools at disposal.

! *Recommendation:* Consider the **feasibility of the proposals** and mind the gap between what is proposed and what is implemented. Send sum-up documents indicating the proposals of policies to the relevant decision-makers and **stay in constant contact with them** to support them in the definition of the policies, their actual implementation and communication to the whole staff.

2.3. The evaluation of policies



[7/9: time dedicated to the policy implementation] The **phase of implementation** represents the translation of the policies from their planning to their concrete fulfillment and performance. Related time frame can vary according to the complexity of the addressed policies and to the organizational

⁴ Veronesi L. *et al.* (2015) Expert report WP4.2: ‘Methodologies and measures for analysing informal decision-making and communication processes’, www.festa-europa.eu/public/42-methodologies-and-measures-analysing-informal-decision-making-and-communication-processes.

and institutional apparatus. In this phase a relevant prerequisite is a clear allocation of tasks and responsibilities among the involved designated actors so that everyone's actions fit into an interdependent, coordinated and coherent plan.

! *Recommendation:* Rarely, if ever, the members of the FESTA team were able to autonomously implement policy actions. They had to interact with policy-makers and power figures within their institutions to achieve the intended organizational changes. In such situations, it is advisable to **re-use the power structure** of the research units/departments already mapped in the first stages of the process to conduct a more fruitful lobbying/advising action in the implementation stage.

[8/9: identification of assessment metrics and collection of related measures] In order to assess the process of policies implementation, we identified **metrics** per each action and collected measures (either quantitative or yes/no) related to the used metrics. This last step implies staying in contact with those relevant stakeholders who hold the required information; this representing a further occasion to comment together on the process.

! *Recommendation:* Make sure you can identify **evaluation metrics** that are easy to translate into precise and collectible data.

! *Recommendation:* Choose both **process and outcome metrics**; the first related to how well a process is doing, the latter related to its results. While one might have the temptation to identify outcome metrics only (obviously, outcomes are the ones we are after), doing so runs the risk of not identifying problems occurring during the process of transformation/implementation. Process metrics allow units to rectify actions as they occur if they are found to be obviously unsatisfactory, thus shortening feedback cycles. In many cases, also, outcomes do not happen in the short run. In this cases process metrics are the only meaningful tool.

[9/9: general assessment] Descriptive outcome or process-based metrics allowed for an evaluation of the policies implementation and for the identification of successful progresses and/or failures in the implementation phase. We then intend to **assess the implementation process** in terms of good, somewhat good or unsatisfactory results, with specification of what worked and what did not work. We also used traffic light icons (green, yellow, red) as a compact indicator of the evaluation for each action or policy.

! *Recommendation:* Allow for a **meaningful amount of time** to elapse between policy implementation and evaluation: policies such as the ones we implemented can rarely achieve meaningful results in less than at least a few months.

2.4. Policies identification and implementation: the form used to collect related information

We collected detailed aspects regarding each step of the policy identification and implementation and included them into specific fields of a structured form, prepared and shared with the partners (Table 1.1). Specifically, we pointed out the aim of the policy and its specific actions, the involved decision-makers as well as population target group. We also kept track of the approach adopted during the phase of policy proposal and of all the stakeholders involved in its implementation. If encountered during the process, resistances were highlighted. As far as the evaluation step is concerned, each partner indicated the metrics used to evaluate the implementation process as well as the related assessment. A traffic light icon was then used to summarize it by means of a green, yellow or red scale.

During the implementation process, partners were asked to state the undergoing progresses indicating the status of the implementation phase.

In the appendix, readers find an abridged version of the documents compiled by each partner.

Table 1.1: Template used to collect information regarding the process of policy identification and implementation

Policy 1	Indicate the name of the policy
Description	Write a description of the policy, detailing: - its specific actions (and/or phases, if planned) - the decision-makers/actors involved in its definition - the population target group
Aim	Describe the goal(s) of the policy
Approach	Top-down or bottom-up (describe further the approach used during the identification and implementation phases of the policy)
Modality	Describe the way you plan to stay in contact with relevant decision-makers and other involved actors
Frequency	Timeline of the meetings/talks with decision-makers and other relevant actors
Schedule	Actual status of the policy implementation: Implemented Partially implemented Going to be implemented (specify timeline)
Resistances (if any)	If any, describe the resistances you encountered during the policy implementation
Metrics	Indicate the metrics identified for each action
Evaluation	Assess the implementation process with reference with what worked and what did not work
Traffic light	Choose the green, yellow or red light to summarize the evaluation

3. POLICIES AIMED AT IMPROVING COMMUNICATION AND DECISION-MAKING PROCESSES

The overarching objective of FESTA is to improve work conditions for female researchers in the STEM field at a group of higher learning institutions across Europe. One of the main pillars of the project, and the immediate goal of the actions detailed in this paper, was the assumption that gender and other sources of inequality could largely be surpassed by improving some basic organizational processes linked to decision-making itself and communication processes on which decision-making is typically grounded. One specifically troubling aspect of these processes is the possibility that, whenever they occur informally, somebody can be excluded from them, thus hindering their participation and even their understanding of the basic mechanisms by which, for instance, resources are allocated or promotions are decided. Coherently with this line of reasoning, consortium members decided to implement a set of policies (and consequent actions) that might help improve participation and work conditions for all groups which are relatively at a disadvantage because of these informal processes, women and others alike.

Keeping this necessary premise in mind, the heterogeneity characterizing our institutions, as expected, generated a wide array of policies aimed at transforming informal practices of communication and decision-making. Keeping our common goals in mind, we identified two dimensions to group these policies and to highlight common strategies implemented by the partner institutions. The main goal for this grouping is to identify commonalities and differences which can be attributed to variables which were not under our control: for instance, we had no power to influence the scale of the research units we were working with. Yet, we are perfectly conscious that implementing policies aimed at, for example, improving the level of participation in decision-making informed by the same general strategy (say, transform an informal practice into a formal one) can generate many specific policies given these variables.

The **first dimension** regards the intermediate **goals** (that appear in columns) associated with the policy actions. We differentiate four distinctive rationales behind the policies:

- improve transparency;
- increase inclusivity;
- facilitate work;
- promote gender balance in terms of sheer numbers.

These four lines of intervention, in turn, refer back to the two decisive informal processes, communication and decision-making, that our project is aimed at transforming.

The **second dimension** refers to the **strategies** (that appear in lines) aimed at helping our institutions to achieve those goals. Essentially, we tried to identify common features of a very diverse set of policies that each institution decided to implement. These four strategies are:

- actions aimed at transforming informal processes that typically produced informal decisions into formal processes able to generate formal results;
- actions aimed at officially recognising informal decision-making processes or at defining the scope of such processes (either to limit or to expand them) while maintaining their contents partly informal, for the sake of effectiveness;
- actions promoting the collection and/or the diffusion of information, thus making such information more readily available to, and usable by, a wider audience;
- training actions aimed at specific sub-groups of members (typically female or male researchers).

Obviously, given the differences in size and scope of the units under scrutiny in the different institutions, these strategies translated into actions of likewise variety, both in size and scope (see Table 3.1).

In the following paragraphs, we will first offer a short synopsis of both the goals and the strategies dimensions, alongside a description of the process of categorization, with an example of how we interpreted each policy, and finally a synoptic description of the policies implemented at our partner institutions.

3.1 Classifying the goals and the strategies to increase transparency and inclusivity in communication and decision-making processes

The four partner institutions involved in the FESTA 4.2 work package (namely, FBK – Fondazione Bruno Kessler, ITU – Istanbul Technical University, SWU – South West University, and UU – Uppsala University) are very heterogeneous along many crucial dimensions for the purposes of the project (e.g., country specific legal framework, general cultural orientation towards the role of women in science and society at large, specific institutional regulations, and so on). The diversities in the vast array of adopted policies might, thus, seem confusing without fully taking into account the existence of such differences. This is why, as stated in the previous, introductory paragraph, we decided to categorize policies along two meaningful dimensions, so that any change agent, or policymaker, can envision her own situation in light of her specific contextual variable. The first dimension characterizes a break-down of the goals into operational sub-goals, the second underscores commonalities of approach, or strategy.

Identifying families of goals was relatively easy as we agreed beforehand on the need to increase transparency and inclusivity. Two other categories emerged from parsing the “goal” field in policy templates prepared by each partner. A general attempt at improving work conditions and more specific goal of explicitly tackling gender differences in terms of sheer representation.

Identifying common traits in the strategies implemented to achieve those goals was less trivial and it required some level of abstraction, as differences in scope and governance structures of the partnering institutions made finding any obvious common traits simply impossible. We concentrated on the definition of the main causal effect that was implied by each policy, that is on how the policy makers thought that the action would help achieve one or more of the goals. In most cases, this causal effect implied a statement on a basic belief on the interaction between the policy and the informal processes mapped in the previous stage of the project. For instance, if in the previous phase a research unit appeared to be taking most decisions informally, and in fact excluding a large subset of individuals, partners typically suggested making those decision-making processes formal, *in toto*, or in part. If the problem, by contrast was identified as a lack of information, typically the devised solution was to collect and provide the information to the relevant actors. By means of this classification exercise we identified four groups of policies: transforming whole informal processes to formal ones; officially recognising the informal process, defining its scope but leaving its content informal; collecting and sharing information; training specific groups of people.

3.1.1 The goals

As previously commented, all partners agreed that increasing transparency (in both decision-making and communication practices) and inclusivity would help towards a better – that is, more meaningful – participation to the life of research units or departments. However, a simple parsing of the declared goals in the proposed policies let two other intermediate objectives emerge: measures aimed at facilitating the general organization of work within research units, and policies specifically aimed at promoting a better gender balance, either at the institution, or departmental levels. In the following few paragraphs we offer a brief explanation for their inclusion as intermediate goals of the project.

Increasing transparency. All partners agreed that transparency was a key issue for allowing a more fruitful participation to the lives of their departments/units of members that are typically excluded (e.g., women, in many cases, or junior members, in most cases) from the main decision-making

processes. Transparency, *per se*, does not guarantee inclusion, however it makes processes easier to understand and it helps raise the level of awareness even in peripheral members of an organization.

Increasing inclusivity. Achieving a higher level of inclusion does not ensure, in itself, a higher efficiency in decision-making or communication processes. However, all partner institutions agreed that increasing inclusion could solve one of the main elements of inequality in access to information and participation to decisions. In other words, designing more inclusive processes should enable a more responsible participation in the life of departments.

Facilitating work. Some of the proposed policies are generically oriented towards improving the work conditions of all, or some, members of the involved research units. They typically concern a transformation of the tasks in terms of content or time, or, in some other cases, a re-allocation of tasks to people to achieve a higher balance in terms of work burdens. In some cases, such policies regard a redefinition of the opportunities to participate (e.g., more meetings, more inclusive). Ultimately, all these actions share the same idea of making work more effective and improving the perception of well-being of the involved actors.

Promoting gender balance. Some of the proposed policies can be linked to a direct effort to specifically help women improve their working conditions. Most of these initiatives deal with gender balance issues, but sometimes there is an explicit attempt to foster a debate (and hence raise awareness) on the role of women at the institutional and departmental levels.

3.1.2 The strategies

Although we shared some basic assumptions on the intermediate goals necessary to improve participation in the lives of the departments of the partner institutions, we were perfectly aware that differences in the starting conditions and in some relevant organizational features (such as: overall size of the institutions, size of research units, institutional governance, level of balance by gender, status, age, just to name the more obvious ones) would necessarily lead to a variety of choices in policy approaches. We identified at least four groups of tools, and some of these groups can be further broken down to specific sub-groups as follows:

Strategy I: From informal to formal content and process. In this approach, policies are meant to neutralize the potentially disruptive effects of informality for the proper (as in both effective and fair) functioning of a research unit. The choice here is radical and simple at the same time: transform into a formal process a practice which, due to its informality, normally produces informal results which are perceived as unclear and potentially unjust by department/unit members. In turn, the formal process needs to generate formal (and thus transparent) outcomes.

Strategy II: Promote formal process, maintain informal content; Create occasions for the occurrence of more informal interactions. This approach, again, underscores the need for clarity in the occurrence of key decisions within departments. However, the basic assumption is that, sometimes, informality is a necessary component of communication and decision-making processes. For instance, it might be necessary to protect the identity of members who voice their dissent, or simply to ensure that there is plenty of opportunities for dialogue and debate. Under this general definition, however we can identify two competing approaches. The first one underscores the necessity to have an officially recognised process – which is thus clearly identified for all to see — that in turn produces informal results (e.g., a channel for PhDs to voice their opinions that are then anonymously collected; an office helping younger researchers kick-start a EU funded project). The second, simply promoting occasions for a more inclusive informal process (e.g. cross-fertilization venues for researchers coming from different areas of research). In contrast with Strategy I, when adopting strategy II the policy makers are aware that some part of the process needs to stay informal for the policy to succeed. For instance, if the goal of the policy is that of helping PhD students voice their displeasure to the department (thus increasing their participation to the decision-making processes of the department),

making the venue totally transparent may expose such students too much. Having an officer in place with the explicit mandate of collecting these voices and then reporting them publicly, but guaranteeing anonymity to the proponent students, helps the communication flows that would otherwise be hindered by fear or tokenism. However, in common with Strategy I, an official identification of the informal process allows for more transparency and clarity.

Strategy III: Collect data; Supply relevant information. The policies aimed at collecting and sharing information operate on the basic observation that, in many cases, the lack of participation, and more in general of inclusion, is due to a lack of knowledge. For instance, PhD students might not be taking part in some specific decision-making processes simply because they do not know that they have a right to speak or vote on the issue, according to institutional regulations. In some other instances, decision-makers might be blind towards some source of inequality - say, for example, gender - because available data do not adequately represent that specific reason for concern. Thus, policies aiming at producing data that help correct these biases would also fall under this category. Obviously, from a strictly logical point of view, we can separate actions geared towards the collection of information from actions offering guidelines for its diffusion.

Strategy IV: Training. Training policies share the premise that in some cases distributing information within an organizational setting might not be enough, as specific subsets of people might need to develop or refine skills and competences as the basis for improving inclusion, fostering motivation and participation, facilitating career progression, and so on. In particular, such gaps might be contributing to their exclusion from communication or decision-making processes. It is important, however, to underscore that the benefits of these training policies can be fully reaped only when accompanying initiatives target groups which are already “in the loop”. If, for instance, an institution designs a policy targeted at improving PhD students’ knowledge of communication channels within the university, department chairs, supervisors and relevant administrative personnel should obviously be involved, both to act as instructors and to become aware of (and thus open to) the demands (say, for more information, or for more inclusion) of this target group.

The categorization process: a simple tutorial.

In order to offer the reader a clearer idea about the categorization process, we present a step by step example based on policy “SWU3”. For each step, we include as the first element the relevant section of the policy scheme we used to archive all policies, then we proceed explaining why we categorized the policy the way we did. For reference, the reader can find an abridged version of the policy file in the appendix.

Step 1: identifying the goal

SWU - Policy 3	Increasing the extent of involvement of PhD students into the academic life
Aim	To increase the level of participation and involvement of PhD students (especially female ones) into the life of their departments, faculty and the university as a whole; To raise awareness among them about information and communications means and channels which could make them stay in touch and be part of their unit; To inform PhD students about decision-making system, regulations and practices at the university, which have direct impact on their studies.

The goal of policy SWU3 is overarching and quite general, however two categories immediately come to mind when looking at the list of goals outlined in section 3.1. First, this

policy intends to increase participation. It does so by trying to include PhD students in general, and females in particular. We will label then the goal as “increasing inclusivity.” Second, by offering more information and increasing awareness it is also aimed at making the academic life of PhD students simpler and more productive. We will label this second goal as “Facilitate Work”. Notice that we do not know, as yet, how the policy-makers intend to pursue the goal of including PhD students more, for that we need to move to the next step.

Step 2: identifying the strategies

Identifying strategies normally requires a much more careful analysis of the set of individual actions that should, in the minds of policy-makers, help them achieve the general goals of the policy.

Description of the policy actions	<p>⇒ Elaborating a structured (including gender distribution) database with PhD student’s names, affiliations, contact addresses, etc. at university level;</p> <p>⇒ Analysing the university regulations about PhD studies concerning their duties and obligations and elaborating suggestions for changes regarding their participation in the academic life of departments and faculties;</p> <p>⇒ Establishment of institutional support structure aiming at PhD students;</p> <p>⇒ Plan specialized training for PhD students.</p> <p>The actors and decision-makers who will be involved are: Vice-Rector for Research and PhD studies, PhD student office, heads of departments, supervisors, FESTA team.</p> <p>The main target group for the policy will be the PhD students (mainly full time).</p>
--	---

This description of actions allows us to identify the main mechanisms that the policy makers felt would work in the specific scenario to achieve the intended goals. In this regard, obviously, identifying frequencies of PhD students by gender would constitute a foundation to then work on inclusion. This action is clearly a data collection exercise. The same applies for the second action, geared towards understanding and classifying the norms regulating PhD life within the institution. Action 3 is a bit different, as essentially it relies on the institution of a formal coordination mechanism for PhD programs across the whole campus. As this policy is geared towards formally regulating activities that were unregulated or under-regulated we classified this as a “From informal to formal content and process” kind of strategy. Finally, the fourth action can be clearly understood as a training activity.

Approach	Mixed. First, top-down approach since it regards challenges that PhD students couldn’t deal with. Second, support from them.
Actors	The initiators of the policy will be the FESTA team members and the main actors will be the Vice-Rector for Research and PhD studies, the staff of the PhD Studies Office, heads of departments, vice-deans for research, jury members, supervisors, academic/faculty councils’ members. The major recipients of the policy will be the PhD students.
Modality	Regular face-to-face meetings, email communication and if necessary, phone calls with respective persons. Regular email communication, informal meetings and/or special events, circulation of useful information.

Frequency	Meetings/talks with decision-makers – once a month depending on the needs. Meetings/talks with PhD students, supervisors, etc. depending on their possibilities.
------------------	---

Finally, the section of the file on approach, actors and modality of implementation helps disambiguate some situations. In this case, they were useful to understand that action 3, for instance, was not merely an “informal” support to the activities of PhD students, rather, it aims at establishing a new institution with regulatory power.

Below the summary table then, we added a new line marked “Goal / Strategy” summarizing our analysis:

Goal / Strategy	SWU3.1: Increase inclusivity / Supply relevant information and Collect data SWU3.2: Increase inclusivity / Supply relevant information and Collect data SWU3.3: Increase inclusivity / From informal to formal content and process SWU3.4: Increase inclusivity + Facilitate Work / From informal to formal content and process + Training
------------------------	---

3.2 An overview of the policies

In the following Table 3.1 we offer an extensive description of the policies chosen by each partner institution and reference them back to goals and tools as appropriate. In order to make the table more concise we indicated policies by their title and code only, further numbering distinct actions while maintaining the general title of the policy they belong to. So, for instance, UU1-1.1 “Decision-making” refers to the first action (Formulate clearly stated evaluation criteria for allocation of the department’s strategic research funds) of policy 1 “Decision-making” of unit UU1. In the cases of SWU and ITU where policies were implemented at the level of the whole institution, we simply used the acronyms designating the institutions. In some cases, titles have been abbreviated to accommodate the table into one sheet.

Looking at this Table we can underscore a few tendencies. The first one is that transforming informal processes and their content into formal ones appeared to be the most common solution to problems. This course of action was chosen – admittedly only in a subset of units – by all partners. Notably, the partner institution with the more advanced regulations for promoting gender balance was also the institution that worked more, and more explicitly, towards this goal. However, but rather unsurprisingly, given our very broad approach and scope, the intermediate goal that was supported the most was the one concerning transformations of work. We refer the reader to the Appendix where these policies are thoroughly described and commented also in terms of evaluation and achievements. They are also coded according to the four intermediate goals and the four strategies identified in Table 3.1.

Table 3.1: A classification of the individual policies

	Improve transparency	Increase inclusivity	Facilitate work (re-designing tasks)	Promote gender balance
From informal to formal content and process	UU1.1.1&1.1.2&1.1.3&1.1.4: Decision-making UU3.4: Goals and strategies for UU3 UU3.2.1&3.2.6&3.2.7: Communication and information FBK1.1.1: Intra-unit communication.	UU1.2: Communication and information UU3.1.1 Decision-making SWU3.3: Increasing the extent of involvement of PhD students... UU3.2.1&3.2.4&3.2.5: Communication and information ITU1: encouraging involvement in research projects FBK36.1.1: Integration of the two former units... FBK2.1.4: Unit reorganization FBK45.1.3: Integration of the two former units...	FBK36.1.1 Integration of the two former units... FBK45.1.1&45.1.2: Integration of the two former units... FBK2.2: Increase autonomy of FBK2 and of its spin-off. UU1.1.1: Decision-making UU3.4: Goals and strategies for UU3 SWU3.4: Increasing the extent of involvement of PhD students... ITU2.1: Improving communication within departments	SWU1.3 Improving information supply and communication SWU2.4 Raising gender equality awareness ... UU3.3.1: The gender equality group
Promote formal process, maintain informal content. Create occasions for more informal interactions	UU1.2: Communication and information	ITU1: encouraging involvement in research projects ITU2.2: Improving communication within departments UU3.2.3: Communication and information. FBK2.1.1&2.1.2&2.1.3: Unit reorganization FBK45.1.4&45.1.5&45.1.6&45.1.7: Integration of the two former units...	UU1.3: The gender equality group UU3.1.2 Decision-making FBK36.1.2&36.1.3 Integration of the two former units... FBK36.2.1&36.2.2: Integration of the two former units... FBK1.2.1&1.2.2: Intra-unit communication.	
Supply relevant information Collect data	FBK1.1.2: Intra-unit communication. UU3.2.2&3.2.6: Communication and information UU3.1.1: Decision-making SWU1.1&1.2 Improving information supply and communication... SWU2.1&2.2: Raising gender equality awareness ...	UU3.2.2&3.2.4: Communication and information. UU3.3.2: The gender equality group SWU1.1&1.2 Improving information supply and communication... SWU3.1&3.2: Increasing the extent of involvement of PhD students ...	FBK1.2.3 Intra-unit communication. UU3.4: Goals and strategies for UU3 ITU1: encouraging involvement in research projects	UU3.3.2: The gender equality group SWU2.3: Raising gender equality awareness ...
Training		ITU3: Supporting women academics' participation in management... SWU3.4: Increasing the extent of involvement of PhD students...		ITU3: Supporting women academics' participation in management...

Moreover, the different conceptualizations, and thus cultural acceptance, of informal processes has led the different partners to adopt diverging strategies in the adoption of policies and their evaluation. For instance, at UU many informal practices were viewed suspiciously because they could de facto exclude some members, and thus, most policies were aimed at formalising the less transparent processes. By contrast, in FBK, a common strategy has been that of adopting measures allowing for more informal moments of interaction between unit members. The implicit theory of these researchers is that informality can add some value to the content of interactions, specifically when there is no clear-cut distinction between doing research and taking political decisions (e.g., deciding who will present a paper at a conference, creating occasions of interaction outside of the established scope of a research unit and so on).

Second, a common feeling shared by all participating institutions is that gender is but one of the important divides present in their organizational units. This becomes apparent in the relative paucity of policies directly aimed at solving gender-related issues.

4. EVALUATION OF THE POLICIES

When it comes to policy evaluation, a critical aspect is represented by the timespan between the implementation of actions and the collection of results. Since the emergence of more transparent and inclusive organizational practices are goals which can be reached only fostering enduring cultural changes, it is reasonable to expect that many actions should have effects in the medium or even long term. Such longstanding lapse contrasts particularly with the short time separating the policy setting phase to the end of the FESTA project. Due to the short time span from policy setting to policy evaluation, it was not possible in many cases to properly measure the results of a specific action in terms of meeting the final goals intended by the corresponding policy. Such tension has resulted in switching, in most cases, the evaluation exercise from an evaluation of the results of the policies (the proper assessment of the final effects of the policymaking efforts) to an evaluation of the process (monitoring whether and to what extent one or more actions connected to a policy have been implemented). We refer to these two different approaches to policy evaluation as “process-based” and “result-based” evaluation. In other words, a “process-based” evaluation focus on assessing whether the process to set up and implement a specific action has taken place. We label the metrics that measure this kind of achievements “process metrics”. A process metric could measure a one-time event, in the case of the action which is needed “once-for-all” in order to manifest its effects (e.g., changing a current office layout, as in the case of unit FBK1) or can measure the set-up of a recurrent informal practice or formal regulation (e.g., establishing a periodic newsletter for employees, as in the case of unit UU3).

In both cases (process- and result-based evaluation), in order to measure the impact of a specific action, we employed an evaluation approach which resulted in combining three separate elements:

- a metric subject to objective (ex-post) measurement on a quantitative scale (e.g., number of meetings organized in the unit) or on a yes/no nominal scale (e.g., provision of English translation of the documentation for the meetings);
- a qualitative subjective assessment, detailing in particular whether the metrics met the expectations (with respect to expected thresholds or other target values) and describing both what went particularly well and what, on the other hand, did not work out;
- a traffic light icon (summarizing a succinct evaluation by means of a green, yellow, reds scale) which, in line with the typical practice of management control systems, codes the actions undertaken by each partner in green when the (process-based or result-based) evaluation was considered positive – yellow –only partly positive – and red – when the evaluation was negative because the action was not implemented (process evaluation) or did not produce the intended consequences and changes (result evaluation).

By looking more closely at the evaluation processes implemented by the various partner institutions, it is clear that policies and actions vary in terms of the length and breadth of the underlying implementation process. As such, these variations have important consequences for how to plan and conduct the monitoring and evaluation phases. First of all, while some policies consist in a simple set of easily implementable actions with irreversible consequences, others to be effective in the long-term need to be constantly renewed and incorporated in recurrent organizational processes and practices. As an example of the former, take FBK2, policy 2, regarding separating a new spin-off unit from a larger research unit. In this case, evaluation is a self-contained exercise in the sense that once the metrics measured show that the goal has been fully reached (as the case in point), one can be sure that the policy will have long-lasting benefits for the organization. As an example of the latter, see ITU1 policy of encouraging involvement in research projects by female researches, while metrics related to the short span of time of the evaluation period are favourable, they surely call for further future scrutiny to properly evaluate whether such policy effects fade out in the distance or produce changes in the long-term.

A second distinction can be made between self-contained actions and actions enabling further policymaking (e.g., because they spread awareness or because they make information available which can be used to further the policy setting agenda). Take as an exemplification the case of SWU3 policy aimed at increasing the involvement of PhD students into academic life. In this case, simple actions such as producing a database have important far reaching consequences in terms of advancing cultural changes and setting the stage for more informed gender debates in the institution. Again, such evaluation is simple in terms of the process metrics which were selected due to the limited available span of time, but this also calls for properly evaluating of the long-term consequences of those policies.

Table 4.1 further elaborates on this topic and offers a more comprehensive view of the evaluation of the policies across the various partner institutions, in particular distinguishing between process-based vs. result based evaluation.

If one considers actions as the translation in operative form of the policies, “process metrics” usually take into account whether a specific action has been implemented without explicitly measuring whether the action elicited changes in behaviours in line with the policy goals.

On the other spectrum, “result metrics” are designed to measure the final effects of the policymaking efforts. As mentioned earlier, due to the short time span, only in a few cases we were able to perform a meaningful evaluation on how a specific action allowed to fulfil the intended goal of the corresponding policy. In particular, in some cases partners were able to collect “proxy metrics” to see whether the action changed behaviours. For instance, in some cases it was possible to measure the practical adoption and frequency of use of tools, norms, practices advocated by a specific action (e.g., in the case of the spinoff of a subunit from unit FBK2, the metrics collected showed that the spinoff process has been successfully completed and that the two groups now work as separate entities with high level of autonomy, which was considered as the ultimate goal of the policy). Other times, it was possible to collect early feedback from targets of the action or from the policymaker which could be used as evidence of fulfilment of the intended goals of the policy. For instance, in the case of FBK36 “weekly scientific meetings”, despite the positive process metrics (the meeting series has taken place and had high participation rates among members of the units), the overall reception and effectiveness of the initiative was considered poor both by participants and by the unit head. Finally, for actions which had clear and short-term effects which could be easily measured, it was possible to observe the final outcome of the action. For instance, in FBK45 “joint activities” the joint collaboration between the members of the two units which have been merged, had already produced sizable results in terms of publications, level of satisfaction of the third parties involved (a private corporation co-financing the research line) which were exactly in line with the intended ultimate results of the policies of reorganizing the unit after the merge and promoting collaboration activities between new members.

Overall the table lists a total of 61 different actions. From the table it is evident some basic differences in the implementation of the policymaking exercise between the various partner institutions: while most of the policymaking in FBK and UU occurs at the divisional/research group level, and there is a clear-cut decomposition of larger policies in a set of specific actions, things look different for SWU and ITU, where most of the policymaking activity occurs at the central level and where, at least in the case of SWU, it is more difficult to distinguish between a set of specific actions within a given policy. All the actions/policies have been subject to some sort of process evaluation, while only for a few of them it was possible to collect some form of evaluation of the degree of fulfilment of the policymaking final intended results.

The result of the evaluation process shows a large majority of green-coded evaluations. With regards to process evaluation metrics, there are only 3 actions which have been evaluated negatively and 1 as neutral. In all these cases this is because those actions were not implemented in full at the time of

the measurement. With regards to result evaluation metrics, out of the 15 actions which had already feedback on their effectiveness in reaching the policy intended goals, 11 were evaluated positively, 1 neutrally and 3 negatively. In the case of the neutral and in 2 out of 3 negative evaluations, this is due to early evidence of negative reception of the action by the targets. In the last negative case, this is simply due to the introduction of a long-term metrics in the evaluation process (increase in the gender balance in high-level decision-making bodies).

Due to time pressure related to the end of the FESTA project, it was important to explicitly set out process-based evaluation measures as outlined above. We also believe that measuring the long-term effects of such policies is very critical. In this respect the partner institutions have at the time of writing of this report embarked on an on-going discussion finalized to set effective best practices in order to adopt an enduring commitment in monitoring the long terms effects of such policymaking activities based on a continuous feedback process linking between purported results, actions, and observed outcomes.

Table 4.1: Evaluation of the individual policies/actions

Partner	Units	Policies	Actions	Process Eval.	Result Eval.	Notes
FBK	FBK1	Intra-unit communication	New hire email	●	na	
			News section group website	●	na	
		Working environment	New office layout	●	na	
			Organization of social events	●	na	
	Mailing list for social events		●	●	Not used by members	
	FBK45	Merger of two separate research units (4 & 5)	Meetings of former heads	●	na	
			Special topics meetings	●	na	
			Joint activities	●	●	
			Meetings for specific projects	●	na	
			New joint research proposal	●	na	
	FBK36	Merger of two separate research units (3 & 6)	Weekly scientific meetings	●	●	High participation, poor feedback
			Mixed research teams	●	●	
			Office common room	●	na	Appliances bought, room not ready
			Social dinners	●	●	Only juniors participated
			New joint research proposal	●	●	
	FBK2	Unit reorganization	Mail-based group discussion on vision	●	●	
			Head/senior res. common vision	●	na	
			Feedback to researchers	●	●	
			Bi-weekly meeting	●	na	Difficult to schedule due to workload
			Internal seminars	●	na	
New collaborations w/ members			●	na		
Increased autonomy of FBK2/spinoff unit		Delegation to new spinoff head	●	●		
		Coordination of shared resources	●	●		
ITU		Encouraging Involvement in Research Projects	●	●		

		Improving com. within department members	Free common slot for meeting	●	●	
			Lectures by outstanding scientists	●	●	
		Supporting women academics' participation in management positions		●	●	
SWU	Improving information supply and communication intensity	Gender audit implementation		●	na	
		HR database		●	na	
		Engaging with key managerial positions		●	na	
		improving the information flow		●	na	
	Raising gender equality awareness and inclusivity of female researchers in decision-making bodies	Mapping the decision-making structure		●	na	
		Identifying locus of informal decision-making		●	na	
		Execution of gender audit of university regulations		●	na	
		Suggestions for new gender equality measures		●	na	
		Changes in the regulations of councils		●	na	
	Increasing the extent of involvement of PhDs into academic life	PhDs database		●	na	
		Changes for PhDs participation in the academic life		●	na	
		Institutional support structure for PhDs		●	na	
Specialized training for PhD students			●	na		
UU	UU1	Decision-making	Research funds evaluation criteria	●	na	
			Planning of PhDs departmental duties	●	na	
			Clarifying decision-making	●	na	
			Procedures for allocating teaching tasks	●	na	
	Communication and information	Division 2 specific actions	●	na		
		Division 3 specific actions	●	na		
		Division 4 specific actions	●	na		
	Gender equality group	increase time recognized to equality officer	●	●		
	UU3	Decision-making	Bilingual documentation	●	na	
			PhDs teaching regulation	●	na	
		Communication and information	Facilitate formal information meetings	●	na	
			Employees newsletter	●	na	
Regulation on handling complaints from junior			●	na		
Introduction package			●	na		
Mentor for English speaking positions			●	na		
Map info flows in (non)-Swedish speaking groups			●	na	Not implemented yet	
Board decisions publicity	●	na				

		Gender equality group	Establish a new equal opportunities group	●	na	Not implemented yet
			Map info flows in (non)-Swedish speaking groups	●	na	
			Publicity of equal opportunities group's work	●	na	
		Goals & Strategy document for the unit	Various actions & responsibilities	●	na	

Note: na=not yet available

5. LESSONS LEARNT AND RECOMMENDATIONS

Lessons learnt and recommendations can be grouped into several categories, placed at different steps of the analysis of the informal decision-making and communication processes. We identified the following aspects which we deemed particularly significant in our experiences.

5.1. Lessons learnt

- There is **no univocal meaning** attributed to informal decision-making and communication processes. Definitions of what is informal and related understandings and implications are very varied. The foundations of these differences are largely to be attributed to the diverse cultural and institutional contexts of the institutions participating in FESTA. On one extremity, ITU's experience pointed out the positive side of informal processes that indeed, in many investigated cases, resulted in practical and efficient outcomes. On the other hand, informal processes are referred to as mainly negative processes in the Swedish context. UU pointed out the downsides of informal processes, specifically those aspects that are not to the advantage of everyone. Many informal decision contexts are exclusive and non-transparent, and their configurations are characterized by their secrecy and construction of inner circles. Other FESTA partners have intermediate views on such topics, showing overall a wide and heterogeneous spectrum of interpretation of the role of informality in organizational settings.
- The informal processes of decision-making and communication have great **relevance** in the understanding of the daily working environment. They do play an active role in influencing decisions to be taken as well as the behaviours and perceptions of the actors involved in them; avoidance to consider the "informal" means to not take into consideration input, strategies, approaches and discussions that are strictly linked to the formal processes of decision-making and communication and to the meeting culture.
- There are **connections between the informal and the formal aspects** of decision-making and communication processes. Not only the daily life and functioning of organizations are affected and shaped by formal elements (regulations, explicit norms, etc.) and informal ones (social norms, etc.), but these two dimensions are regulated by mutual interdependencies. Sometimes, formal aspects represent the front-side and explicit side of decision-making, most of the choice process occur underground in a very informal and implicit way. Other times, informal aspects precede the formal ones, in the sense that the former are often preparatory to latter ones where "pre-cooked" decisions are represented, formalised and approved by means of votes or of approved procedures. The acknowledgment of such intertwined nature of these dimensions is not to be taken for granted by various stakeholders in an institution or across partners.
- The adoption of a **mixed bottom-up and top-down approach** while collecting data and discussing them allows to involve all the relevant stakeholders in the monitoring processes and to gather different opinions and perspectives on a specific issue. It is strategic to be able to contact and discuss both with researchers in order to collect their needs and perceptions and to put them in relation with the top management in order to let them be aware of the perceived demands and have their endorsement. The collaboration of all the involved stakeholders represents a base requirement for an effective implementation of a policy.
- The **participatory approach** allows to design and implement policies that provide ad hoc answers to the emerging specific problematic issues. The approach requires the needs analysis and the active participation of the members of interested community in the issues that shape their working life; the sharing of knowledge - thus improving transparency and inclusivity; the encompassing of different perspectives; the development of shared understanding and the opportunity for shared reflections and self-assessment.

- Descriptive **metrics** help to measure the implementation process effectiveness, the process improvement goals and the success of the established objectives. They help to monitor and assess the performance of the policy implementation as well as to identify failures or obstacles, operating as a signal alarm when things do not work. Metrics provide a tool able to keep track of the outcomes of the planned policies and to compare results in a given time span.
- The decision to concentrate on the informal aspects of decision-making and communication processes and **leaving gender issues in the background** helped us identify a few key issues in the relationship between gender and informality. First, it emerged from many of the interviews that gendered practices existed but they were rarely recognised as such, except in cases where interviewees had either independently developed an interest for the topic or had been exposed to such discourse in the past. On the one side, this obviously hindered, for many of the participants, the ability to contribute consciously to the identification of practices that inherently tend to exclude women. On the other hand, however, concentrating on inclusivity and transparency forced people to reflect on the categories of members of their departments/units that were treated “differently” or had no access to relevant information, sometimes prompting a re-examination of current practices.

5.2. Recommendations

- Informal decision-making and communication processes should be **inclusive, transparent and participatory** if the scope is to build awareness and consensus. Moreover, they need to be initiated by people at the lowest positions of the organizations in order to support a bottom-up approach able to involve those people affected by the management decisions.
- Changes at the daily working environment level cannot be expected to be realized in a short time span. We thus recommend to recognize and **estimate the adequate time frame** for change and make strategic plans accordingly.
- In order to assess the steps done and to measure the intermediate outcomes, we need to **identify clear and easy metrics** that allow both for comparisons with past internal situations and with external case studies. The identification of possible obstacles and/or failures gives the possibility to adjust in progress the policy implementation process.
- **Raising awareness activities** are necessary in order to let relevant people become ready to accept changes, be themselves active in the change management and effectively implement new initiatives. We acknowledged this with reference to gender issues and to the more general transparency and inclusivity issues. We thus recommend to organize awareness events before starting with processes of changes implementation; they preferably take place in small groups so that participants can more easily interact and share opinions. Consider that the organization of these kinds of occasions are time consuming and need to be constantly reiterated in order to have more effective outcomes.
- Where blindness exists towards the relevance of informal decision-making processes and gender equality issues, it is necessary to **start with mapping the informal processes**, identifying the individuals with strong power (including the symbolic one) and auditing the gender distribution at the different units (i.e. faculties, departments, offices, etc.) as well as at the whole institution. For some organizations, the second important step is the collection of names and contact information of all staff, along with their positions and affiliation and create an appropriate system enabling an information flow which includes everyone in regard with certain tasks or responsibilities.
- In order to ensure efficient functioning of the information flow, an appropriate **communication infrastructure** involving both technical tools and networks (“hardware”) as well as an appropriate **system of rules and procedures**, roles and responsibilities (“software”) is necessary.
- Regarding gender equality, an **audit of all institutional regulations** should be done and appropriate changes should be initiated in including gender equality issues in order to foster a

larger participation of women in decision-making bodies and processes as well as more fair conditions for appraising the work and performance of female scientists.

- Decision-making processes and meeting culture both deal with the large amount of decisions that make up the daily working environment of researchers. Withholding information is a common master suppression technique, one that may restrain or circumscribe one or another individual or group – people are unable to make good decisions when they have not had access to information about important issues at work. However, it is possible to recognize and point out the amount and quality of information, to request that everyone presents their thoughts and account for their conclusions and that deadlines for important issues are postponed (counter strategies). You can also go forward by behaving and/or leading by example, for example informing all relevant “players” and including them in the decision-making processes (validation technique). In this way, work with **changing meeting cultures** to become more inclusive may also have an indirect impact on work to make decision-making more transparent and share more information, which in turn is an indirect way to foster inclusive meeting cultures where all participants have equal voice.
- **Social lubricant** for a better working environment increases inclusivity in communication: we suggest to organize joint activities where everybody is invited so that to get to know each other and come into a community faster, which in turn makes for a working environment where employees have occasions to communicate and get prepared to talk at formal meetings.
- **More individuals** at the department/research unit than the Head is required to be **formally involved in the process** of identifying and implementing policies.
- Policy setting is largely formal, but has consequences in formal and informal practices, routines, and decision-making processes. If we **recognize the existence of an intertwined relationship between formal and informal aspects** of decision-making we need to both evaluate how formal decision-making is affected by policy changes and how informal decision-making reacts to such changes. Thus, if we want to measure the effectiveness of transparency and inclusivity programs, it is crucial to understand if changes in the informal side of decision-making are coherent with the intended consequences of such policies or, on the contrary, if this result in the emergence of new informal decision-making practices aimed at "dodging the bullet" of formal regulations in order to preserve the results of status-quo informal practices.

APPENDIX

FBK: Policies implementation and strategies

FBK1 - Policy 1	Intra-unit communication
Aim	The policy aims to foster the intra-unit communication about people joining/leaving the unit and about the status of the research projects.
Description of the policy actions	[FBK1.1.1]: Send emails to the mailing list of the research unit when people join/leave the unit; [FBK1.1.2]: Update the News section on the research unit website with reference to the status of the projects (acquired/started/finished).
Actors involved	The whole staff of the research unit was involved in the definition of the policies; the final decision-maker was the head of the unit. The target group of the policy is all the research staff of the unit.
Approach & modality	We followed a bottom-up approach to identify the actions able to face the issues considered as problematic during the feedback sessions. In that occasion, everyone in the unit was invited to express his/her positions and proposals for solutions to the discussed issues. Following, we stayed in contact with the head of the unit via emails and individual meetings to define actions and timeline.
Evaluation	Both the actions were positively implemented: [FBK1.1.1]: Emails were shared within the research staff when, respectively, one new entry and one exit occurred. [FBK1.1.2]: Since the feedback session with the whole research unit, the news uploaded on the unit's webpage incremented (see website). They mainly refer to researchers' accepted papers, awards, organized talk and tutorial and kickoff of new research projects.
Goal / Strategy	FBK1.1.1: Improve transparency / From informal to formal FBK1.1.2: Improve transparency / Supply relevant information

FBK1 - Policy 2	Working environment
Aim	The aim is to improve the working environment characterized by low level of social relations among colleagues. The attempt is to encourage occasions for informal and extra-work activities, thus enhancing the units' social climate.
Description of the policy actions	[FBK1.2.1]: Set sofas, tables (with newspapers) and coffee/tea machines in the corridor (after moving the printer to another place); [FBK1.2.2]: Organize celebration events/toasts (e.g., after PhD defence, the financing of a project, etc.); [FBK1.2.3]: Collect or circulate proposals for free-time activities via email; an ad-hoc email address is created by the head of the unit.
Actors involved	Same as above
Approach	Same as above.
Evaluation	All the actions were implemented: two were positively evaluated, one was only partially unsuccessful. [FBK1.2.1]: Part of the corridor is transformed into a coffee/tea area provided with tea pot, cups and two chairs. Mainly junior researchers and PhD students use the available place. The head of the unit never uses it. [FBK1.2.2]: Several celebrations were organized since: the financing of the two funded research projects and the PhD defence of one of the two PhD students who graduated; the other one, mainly due to personal reasons, did not celebrate.

	[FBK1.2.3]: The head of the unit created an ad hoc google group that had 10 subscriptions. People were inspired by this and they shared info about extra-work social events but they rather preferred the usual mailing list of the unit.
Goal / Strategy	FBK1.2.1: Facilitate Work / Promote formal process & Maintain informal content FBK1.2.2: Facilitate Work / Promote formal process & Maintain informal content FBK1.2.3: Facilitate Work / Supply relevant information

FBK45 (former FBK4) - Policy 1a	Integration of the two former units, keeping in mind transparency and inclusion criteria during the process
Aim	The policy aims to manage the problem of the physical distance between the offices of some of the staff. Their proximity could hamper inclusive communication and possibly successful collaborations.
Description of the policy actions	Organization of different types of meeting: [FBK45.1.1]: Regular meetings between the former leaders of the research unit about the management of the unit. [FBK45.1.2]: Meeting with the permanent staff of the unit about funding, evaluation, budget. [FBK45.1.3]: Meeting with relevant people, about specific issues related to each project
Actors involved	Due to the structural organizational change (two units were joined in one), the actors involved are the current head of the new (bigger) unit and the head of the former unit. The target group of the policy is all the research staff of the unit.
Approach & modality	We first organized a meeting with the heads of the two former units to brainstorm what happened with the re-organization of the centre and its effects on the new unit (one of them became the head of the new bigger unit). After the meeting, they produced and shared with us a written document on specific policy proposals.
Evaluation	The implementation of these actions was positively evaluated, also according to people's participation. [FBK45.1.1]: Done, every two weeks since our last meeting with the new head of the unit [FBK45.1.2]: About one meeting per month regarding special topics was organized, depending on the effective need and usefulness [FBK45.1.3]: Meetings were organized accordingly to the effective needs of each running projects
Goal / Strategy	FBK45.1.1: Facilitate Work / From informal to formal content and process FBK45.1.2: Facilitate Work / From informal to formal content and process FBK45.1.3: Increase inclusivity / From informal to formal content and process

FBK45 (former FBK4) - Policy 1b	Integration of the two former units, keeping in mind transparency and inclusion criteria during the process
Aim	The policy aims to manage the problematic issue related to current poor overlap for common research projects between the two former units. Thus, a series of activities was initiated with the aim of strengthening collaboration between members of the two former research units.
Description of the policy actions	[FBK45.1.4]: A graduate student of the former FBK5 replaces a female researcher (on maternity leave) in the former FBK4. [FBK45.1.5]: Start of a small research activity, performed by 2 colleagues from the 2 former research units.

	<p>[FBK45.1.6]: Installation of an optical measurement system in the cluster lab. Its shared use brings competencies of the 2 former units together in the very same lab.</p> <p>[FBK45.1.7] Definition of a first project/proposal in which the proposal writing is performed by the collaboration of people from the two former units.</p>
Actors involved	The policies were proposed by the two heads of the former units (also taking into consideration opinions, proposals and attitudes of their research staff) and shared with the FESTA staff.
Approach & modality	We first organized a meeting with the heads of the two former units to brainstorm what happened with the re-organization of the centre and its effects on the new unit (one of them became the head of the new bigger unit). After the meeting, they produced and shared with us a written document on specific policy proposals.
Evaluation	<p>Overall, the implementation of the action was positively evaluated. According to the head of the unit, the collaboration between researchers of the two units is a slow and gradual process but s/he is positive about the future good integration.</p> <p>[FBK45.1.4]: the collaboration ended with the conclusion of the project; the coordinator of the project was satisfied about the collaboration as well as the enterprise involved in the project</p> <p>[FBK45.1.5]: the project ended with a publication as a final output</p> <p>[FBK45.1.6]: the optical measurement system is available but only the head of the unit is currently able to use it. He is the unique user. Due to time-related reasons, he did not train other researchers yet but s/he is confident that he will do it soon</p> <p>[FBK45.1.7]: since November 2015 several projects were submitted (one Caritro Foundation, 2 FET, 1 Euregio and 1 Marie Curie). Mainly the Marie Curie project represents the first real example of the strict collaboration between the head of the unit 45 and of a researcher of the previous FBK4. Also, a new research collaboration started with a newly hired post doc researcher who works on a project that merges the interest research areas of the two former units: Material and the System areas.</p>
Goal / Strategy	FBK45.1.4 to 7: Increase inclusivity / Promote formal processes, maintain informal content. Create occasions for more informal interactions.

FBK36 - Policy 1	Integration of the two former units, increasing the occasions of both formal and informal meetings
Aim	The actions aim to integrate the two former units and create a unique cohesive unit, attempting to foster researchers' willingness to collaborate.
Description of the policy actions	<p>[FBK36.1.1]: Organization of weekly scientific meetings during which each researcher, in turn, presents her/his research work. In this way researchers from the two former units get to know others' projects and specific research interest/area. Meetings last about 40 minutes (including final discussions).</p> <p>[FBK36.1.2]: Place a coffee/tea machine in the bigger office so that people may informally meet and talk and increase the social relation within the unit.</p> <p>[FBK36.1.3]: Organize informal dinners (now and then) and some movie-nights open to everyone within the staff.</p>
Actors involved	The current head of the new unit as decision-maker; the head of the former unit never replied to our invitation to a joint meeting. The target group of the policy is all the research staff of the unit.
Approach & modality	The head of the new FBK36 proposed a set of actions after analysing for about one year the new status of the organization and its effect on the daily research

	activities and management. He proposed some of them to her/his research staff first (to verify their feasibility) and to the FESTA staff then.
Evaluation	<p>The evaluation of the actions implementation was not satisfactory. Mainly senior researchers did not fully and positively participate to the proposed activities [1 and 3]); action 2 is not fully implemented.</p> <p>[FBK36.1.1]: Meetings were organized during a 3/4-month period; one every 1/2 weeks. About 15 people participated to the meetings and about 20 presentations occurred (some researchers presented more than one time). The head of the unit never attended because s/he wanted to avoid researchers had the perception of her/his control and assessment on the presentations. On the other side, s/he realized that her/his absence could mean that the meetings were not relevant enough. The meetings were organized by a senior researcher who sent also the invitation by email. Despite the participation rate, overall reactions to the meetings were not positive. There was a kind of intolerance towards it; there was no enthusiasm and curiosity. At the end of the presentation there were no discussions and no questions. Mainly senior researchers did not get the advantage: “if you already work on the issue, you already know enough about it; if you do not work on the issue, you are not interested in it”. Meetings were not understood as occasions to share knowledges and look for common inter-thematic interests, rather as a top-down imposition. They were more appreciated by PhD students and young researchers. According to the head of the unit, the good participation does not correspond to the quality of the meetings. S/he proposes to change the approach and focus the meetings on issues of general interest, transversal to specific scientific thematic.</p> <p>[FBK36.1.2]: The coffee machine is bought but it needs to be placed. Every 2/3 weeks the head of the unit takes her/his homemade cakes at work to share them with the staff.</p> <p>[FBK36.1.3]: The head of the unit invited her/his research staff to trips (Eastern in Liguria) and social events (Pizza for Christmas, picnic for lunch, movie nights). Mainly PhD students and junior researchers attended, senior researchers rarely participated (some of them never went).</p>
Goal / Strategy	<p>FBK36.1.1: Increase inclusivity + Facilitate Work / From informal to formal content and process</p> <p>FBK36.1.2: Facilitate Work / Promote formal process & Maintain informal content</p> <p>FBK36.1.3: Facilitate Work / Promote formal process & Maintain informal content</p>

FBK36 - Policy 2	Integration of the two former units, increasing the occasions of both formal and informal meeting
Aim	The actions aim to integrate the two former units and create a unique cohesive unit. According to the head of the unit, the main obstacles are the different styles of leadership, compared to the one adopted by the former head of the unit FBK6, as well as the different approaches to the research activities of the two former units.
Description of the policy actions	<p>[FBK36.2.1]: Organization of working teams made up of researchers coming from the two former units.</p> <p>[FBK36.2.2]: Definition of a first project/proposal in which the proposal writing is performed by the collaboration of people from the two former units</p>
Actors involved	The current head of the new unit as decision-maker; the head of the former unit never replied to our invitation to a joint meeting. The target group of the policy is all the research staff of the unit.

Approach & modality	The head of the new FBK36 proposed a set of actions after analysing for about one year the new status of the organization and its effect on the daily research activities and management. He proposed some of them to her/his research staff first (to verify their feasibility) and to the FESTA staff then.
Evaluation	[FBK36.2.1]: Three working teams, each gathering researchers coming from the two former units, were organized to work on new common projects. One scientific article was published; milestones of the projects were respected although small delays were registered. Collaborations required more time but the head of unit is confident of long term advantages both in term of scientific outputs and of taken working responsibilities. Also, the problem-solving capabilities can this way increase. Only one researcher did not accept to collaborate with others as s/he was concentrated in her/his own career. [FBK36.2.2]: A new “joint” project with an enterprise started.
Goal / Strategy	FBK36.2.1: Facilitate Work / Promote formal process & Maintain informal content FBK36.2.2: Facilitate Work / Promote formal process & Maintain informal content

FBK2 - Policy 1	Unit reorganization
Aim	Refocus the activities of the group and identify a shared common goal, increasing the sharing of the knowledge within the unit and fostering its internal collaboration. This brings to a redefinition of the research team with the assignment of specific roles of responsibility to each member.
Description of the policy actions	[FBK2.1.1]: Open an email discussion on the way the different scientific and technological contributions of the group can be integrated in a unique vision and, if possible, in a software platform [FBK2.1.2]: Sharing of vision and strategic decisions between the head of the unit and the senior researcher of the group [FBK2.1.3]: Head of the unit offers more feedback to the researchers on the activities they are conducting [FBK2.1.4]: Organization of bi-weekly meetings as well as of scientific seminars [FBK2.1.5]: Head’s proposal of research activities that considers the contribution of researchers that are currently not collaborating (this activity already started in 2015)
Actors involved	The head of the unit as decision-makers; the staff of the unit as recipient.
Approach & modality	Policies were proposed by the head of the unit. Following the feedback session - during which no actions were proposed by anyone and the discussion was very limited to some generic comments - the FESTA staff organized a (skype) meeting with the head of the unit (at that time in London). He then returned a document with policy proposals.
Evaluation	Overall, the actions implementation went well: [FBK2.1.1]: The discussion on the shared vision of the group occurred in January and February 2016, via email at the beginning, then during meetings with small groups of people in order to be more operative. The activity continued with two concrete projects. All the research staff participated in the discussion, on the basis of their role and on their enthusiasm. The action is still in progress, and on a 10 points scale, the head of the unit considers they reached step 7,5. [FBK2.1.2]: The head of the unit organized weekly meetings with the senior researcher to share the strategic (management and organizational) decisions of the unit. [FBK2.1.3]: The head of the unit organized weekly individual meetings with his/her researchers and PhD student. He/she pointed out the improvements in offering

	<p>feedback (on a 10 points scale, s/he rates herself/himself 6 - compared to a previous 5). These meetings required lot of time because they implied deep exchanges on the research topic and on the different approaches to them.</p> <p>[FBK2.1.4]: Only one “bi-weekly meeting” was organized in February, since December 2015. The main reason was due to the busy working period. The head of the unit retains that meeting in small group (usually three people each) focused on specific themes are more efficient and that information are already shared during the individual meetings. Differently, scientific seminars were organized every week / every other week (together with the spin-off unit)</p> <p>[FBK2.1.5]: two new scientific collaborations started, based on a proposal of the head of the unit</p>
Goal / Strategy	<p>FBK2.1.1 and FBK2.1.2 and FBK2.1.3: Increase inclusivity / Promote formal process, maintain informal content. Create occasions for more in formal interactions.</p> <p>FBK2.1.4 and FBK2.1.5: Increase inclusivity / From informal to formal content and process</p>

FBK2 - Policy 2	Increased autonomy of FBK2 and of its spin-off unit
Aim	Achieve a greater identification of FBK2 and the new (spin-off) unit as research groups with its own individuality and specificity while maintaining a high level of collaboration between the researchers of the two groups.
Description of the policy actions	<p>[FBK2.2]:</p> <p>a) address requests and relevant info to the head of the new (spin-off) unit</p> <p>b) coordinate with the head of the new (spin-off) unit the management of the common resources (hardware and spaces)</p>
Actors involved	The head of the unit as decision-makers; the staff of the unit as recipient.
Approach & modality	Policies were proposed by the head of the unit. Following the feedback session - during which no actions were proposed by anyone and the discussion was very limited to some generic comments - the FESTA staff organized a (skype) meeting with the head of the unit (at that time in London). He then returned a document with policy proposals.
Evaluation	<p>The implementation of the action was positively evaluated:</p> <p>a) all the info was addressed but currently there is no need any more as they are recognized as two separate units;</p> <p>b) the two units are actually autonomous and scientific collaborations reduced due to the different scientific focus addressed.</p>
Goal / Strategy	FBK2.2: Facilitate Work / From informal to formal content and process

ITU: Policies implementation and strategies

ITU - Policy 1	Encouraging Involvement in Research Projects
Aim	This policy aims to initiate an action plan for encouraging the academics for applying for project grants since participants and the heads in the feedback sessions have complained about scarce budgets, especially for research. It is targeted to enable researchers' involvement in research projects at institutional, national and international levels.
Description of the policy actions	[ITU1]: We advised to the university administration to allocate funding from the income of ITU Development Foundation. We advised both to the university administration and ITU Scientific Research Unit to increase the research funding and simplify the process & procedures in order to reduce the bureaucracy. We also advised to ITU EU office to organize more trainings to increase the number of research proposals.
Actors involved	ITU FESTA team will be the main agency to inform ITU EU office about the burdens that participants have been facing while applying for projects. Vice Rector of ITU who is responsible for research, ITU EU office and ITU Scientific Research Projects Unit will be the other main actors involved. The recipient of the policy change will be young researchers who are especially concerned with limited budgets.
Approach & modality	We decided to get in touch with the EU office at the university, to present these problems and possibly initiate actions to encourage academics to apply for projects. ITU FESTA team also maintained a continuous contact with Vice Rector of ITU who is responsible for research. By e-mail messages and face-to-face meetings, we shall continue to keep contact with the main actors listed above. We also communicate with young researchers to find out if they have been successful in their applications.
Evaluation	While in 2012, only 31 academics had applied to EU projects, in 2015 the number increased to 46. While in 2012 the percentage of female academics among project applicants to ITU Scientific Research Unit was 46% with a success rate of 80%, in 2015 this number increased up to 48,8 % with the success rate of 85%. These statistics points out a positive development. ITU team also created an online survey and sent it to academics who either took part in 4.2 interviews or feedback sessions. The questionnaire was sent to nearly 60 academics. 15 of them have replied until now. The results show that out of the 15 respondents, 11 are currently involved in a project. 6 of them are supported by the University Scientific Research Unit, 4 of them by national agencies and 1 of them by an international agency (EU).
Goal / Strategy	ITU1: Increase inclusivity + Facilitate Work / From informal to formal content and process + Promote formal process, maintain informal content. Create occasions for more in formal interactions + Supply relevant information and Collect data

ITU - Policy 2	Improving Communication within Department Members
Aim	This policy aims to improve accurate and efficient communication among department members to help to maintain an efficient flow of information and to create a transparent and inclusive academic environment
Description of the policy actions	[ITU2.1]: ITU 1 designs the course schedules which allows common slot for all department members. [ITU2.2]: ITU 10 highlights the importance of informal gatherings for getting to know each other better. For example, seminars, workshops and social gatherings taking place after such events are helpful means for improving communication

	processes.
Actors Involved	Head of department is the main actor to improve the communication among department members and all the members in the department are the recipients of such a policy.
Approach & modality	We had several face to face meetings with the heads of two departments.
Evaluation	Both departments have successfully implemented the actions: The head of ITU 1 took action so that all members have a free common time slot in their weekly schedules for attending related meetings. The head also informed us about another positive progress. S/he has started having regular meetings with research assistants to have a better communication with them as they are not formal members of department meetings where they have only one representative. The head of ITU 10 also reported that number of departmental scientific meetings where they invite outstanding scientists to give lectures are increasing. These meetings are also functional in increasing social interactions.
Goal / Strategy	ITU2.1: Facilitate Work / From informal to formal content and process ITU2.2: Increase inclusivity / Promote formal process, maintain informal content. Create occasions for more in formal interactions.

ITU - Policy 3	Supporting women academics' participation in management positions
Aim	To ensure that women also are given the opportunity to participate in all decision-making processes and bodies.
Description of the policy actions	[ITU3]: Design trainings for female academics to create gender awareness and strengthen their self-confidence. During the feedback sessions, Head of ITU1 mentioned a project where several professors from the department were involved recently. Unfortunately, no female academics are in the project group although the department is one of the departments where women's representation is very high. On the other hand, head of ITU 10 said that she was recently elected to University Senate as a member. This is a very remarkable success since women's representation in decision-making bodies are very low in the institution.
Actors involved	University top management will be the main actor in order to take necessary steps for increasing women's representation at committees, councils etc. ITU FESTA team is an important agent since they help to encourage women academics for taking positions in decision-making positions.
Approach & modality	Throughout the meetings and workshops carried out for different FESTA work packages, we helped to create awareness on gender equality and mentioned the problem that there is a low participation of women at decision-making levels although relatively large numbers of women academics are observed at all grades. We also organized a meeting with vice rector responsible for research and other academics at decision-making levels in the organization where we were able to present the "Recommendations to more transparency in decision-making processes to the advantage of gender equality". We also organized a training programme for researchers/academics on 'Academic Networking and Visibility' at one of the faculties in the institution. An online survey was also carried out to get the recent reactions of academics who were involved in FESTA interviews, meetings etc.
Evaluation	When women's representation at decision-making levels is examined, there is a low representation of women at all decision-making levels showing that our policy

	<p>for “Supporting women academics’ participation in management positions” is getting more and more crucial. One of the main obstacles faced during the implementation of this policy was the male-dominated networks which prevent female academics to reach leadership positions and this is why a training on ‘networking and visibility’ is very important. On the other hand, strengthening female academics’ self-confidence and encouraging them for decision-making levels require a long-term process which necessitates many other trainings & courses etc.</p> <p><i>2015 statistics:</i> Deans: 4 females (30%), 9 males Vice deans: 9 females (35%), 17 males Members of University Executive Board: 5 females (19%), 21 males Members of University Senate: 6 females (21%), 29 males Head of Dept.: 8 females (20%), 32 males</p>
Goal / Strategy	ITU3: Increase inclusivity + Promote gender balance / Training

SWU: Policies implementation and strategies

SWU - Policy 1	Improving information supply and communication intensity at the university
Aim	The policy aims to enhance the integrity of the academic community by improving the ways and means of the information flow thus creating opportunities (also) for female researchers for easier and more beneficial access to important information.
Description of the policy actions	[SWU1.1]: Compilation of contact information database of all staff members on permanent contract; [SWU1.2]: Elaboration of patterns and measures for improving the information flow and communication intensity; [SWU1.3]: Implementation of a gender audit of the departments, faculties, administrative departments and offices at the university.
Actors involved	FESTA team members, Vice-Rector, members of the Academic council, deans, heads of departments and administrative offices, chairpersons of committees, individuals who participated in the FESTA events.
Approach & modality	Mixed. First, we adopted a top-down approach since it regards bigger challenges than a single researcher or a group of researchers could deal with. Then, we asked support from the bottom. Staff members who were active and demonstrated concerns and engagement during the FESTA surveys, workshops and meetings were involved via regular face-to-face meetings, permanent email communication and if necessary, phone calls. Informal meetings and/or social events were organised too, together with specific activities aiming at implementing the strategy and making improvements.
Evaluation	SWU elaborated a structured database of info related to all staff members (positions, contacts, status, academic rank) in order to intensify of intra-university communication, mostly about several opportunities: announcement for positions, award, projects and programs, changes in legislation. As a result, there were fifty-nine team applications for research funding compared to forty-five in the previous year. SWU also elaborated an application for Erasmus+ mobility program. Due to lack of information there was no mobility proposal submitted by SWU last year; in 2016 the university applied for fifteen countries. SWU is in a process of identifying the gender composition of team applications and of participants to Erasmus+. Gender audit which has never been elaborated for the staff (academic and administrative) of the SWU on permanent position. It provides extremely valuable information for different kinds of gender analyses and elaboration of measures for inclusion of women scientists, changing balances, etc.
Goal / Strategy	SWU1.1 and SWU1.2: Improve transparency + Increase inclusivity /Supply relevant information and Collect data SWU1.3: Promote gender balance / From informal to formal content and process

SWU - Policy 2	Raising gender equality awareness and inclusivity of female researchers in decision-making bodies and processes
Aim	The policy aims to raise awareness about decision-making system and practices at the university; to elaborate measures aiming to enlarge transparency in informal decision-making; and to initiate processes for increasing the involvement of female researchers.
Description of the policy actions	[SWU2.1]: Mapping the decision-making structure functioning at the university; [SWU2.2]: Identifying spots where informal decision-making could take significant place and influence; [SWU2.3]: Execution of gender audit of the university regulations; [SWU2.4]: Elaborating suggestions for gender equality measures to be included in the official university regulations.
Actors involved	The FESTA team members, Vice-Rector, deans, heads of departments and offices, chairpersons of committees, etc.
Approach & modality	Mixed. First, top-down approach since it regards larger challenges than a single researcher or a group of researchers could deal with. Second, support from the bottom is vital for the desired/positive changes to take place. Staff members who have been active and demonstrated concerns and engagement during the FESTA surveys, workshops and meetings will be involved. Regular face-to-face meetings, email communication and if necessary, phone calls with respective key persons and decision-makers; Informal meetings and/or social events, distribution of materials and valuable information.
Evaluation	Detailed maps of decision-making systems and processes were elaborated and will be circulated to all the staff members at all faculties; statistical information about man/women on managerial positions were collected; institutional regulations regarding gender equality were analysed and suggestions for changes were elaborated to be included in the Attestation Rules.
Goal / Strategy	SWU2.1& SWU2.2: Improve transparency / Supply relevant information and Collect data SWU2.3: Promote gender balance / Supply relevant information and Collect data SWU2.4: Promote gender balance / From informal to formal content and process

SWU - Policy 3	Increasing the extent of involvement of PhD students into the academic life
Aim	The policy aims to increase the level of participation and involvement of PhD students (especially female ones) into the life of departments, faculties and the university as a whole.
Description of the policy actions	[SWU3.1]: Compilation of structured (including gender distribution) database about PhD students; [SWU3.2]: Analysis of the university regulations about PhD studies; [SWU3.3]: Elaboration of suggestions for changes regarding their participation in the academic life of departments, faculties and the university; [SWU3.4]: Establishment of institutional support structure addressed at the PhD students.

Actors involved	FESTA team members, Vice-Rector for Research and PhD studies, the staff of the PhD Studies Office, heads of departments, vice-deans for research, jury members, supervisors, academic/faculty councils' members.
Approach & modality	Regular face-to-face meetings, email communication and if necessary, phone calls with respective persons; informal meetings and/or special events, circulation of useful information.
Evaluation	Database about all PhD students was structured and a system of communication with them was created; an analysis of all university regulations with regards to PhD studies was conducted and related support was elaborated; statistics report on gender distribution between programs and departments/faculties was produced; Doctoral School on university level was established as well as a plan for specialized training.
Goal / Strategy	SWU3.1: Increase inclusivity / Supply relevant information and Collect data SWU3.2: Increase inclusivity / Supply relevant information and Collect data SWU3.3: Increase inclusivity / From informal to formal content and process SWU3.4: Increase inclusivity + Facilitate Work / From informal to formal content and process + Training

UU: Policies implementation and strategies

UU1 - Policy 1	Decision-making
Aim	The policy aims to clarify and make decision-making processes more transparent and to make informal networks less important.
Description of the policy actions	[UU1.1.1]: Formulate clearly stated evaluation criteria for allocation of the department's strategic research funds. [UU1.1.2]: Better planning of the doctoral students' departmental duties. [UU1.1.3]: Formulate division actions aimed at clarifying decision-making. [UU1.1.4]: Improved procedures for the allocation of teaching tasks: responsibilities, roles, planning, as well as joint planning with other tasks.
Actors involved	The decision-makers/actors involved in the definition of the policies were the Head of research and a drafting group of program-responsible professors, the Director of studies, Heads of the divisions and the Head of Education. The target group of the policies is all the staff of the department.
Approach & modality	The first two policies are based on suggestions from the department's Strategy Day (Fall 2014), where research and PhD education were discussed by a very large proportion of the academics with PhDs. The last two policies are based on the results of the department's work environment survey, made in the fall of 2014. Heads of department/equivalent can after agreement with the HR division call off the work environment indicator. The query tool includes a battery of standardized survey questions based on relevant work life research. The questions that employees may respond to concerns leadership, organization, physical work, goals and strategies, and working climate. The policy actions were in turn a result of the feedback sessions, which led to the action to have discussions in all divisions about decision-making and to formulate well defined transparent criteria for allocation of tasks and resources. One of the issues raised in the work environment survey was also on the opportunity to influence decisions. The division actions were discussed in staff/division meetings. Division follow-ups of the survey have been led by staff from the HR division. We have been in contact with the Head of department mainly via meetings, e-mails and phone calls.
Evaluation	1) There will not be any general criteria. There is already a document from 2012 describing the process for deciding about more general use of the department's strategic research funding. Some of the internal funds are used proactively to strategic initiatives. For example, to initiate or strengthen key strategic areas of the department. Preparation takes place in the autumn under the direction of the Head of research. The drafting committee is the group of program responsible professors. These are expected to take in the views and proposals from each division in conjunction with specially announced division meetings. Decisions on the use of funds for a financial year is normally taken by the department board in connection with the budget set out in December the year before, with respect to the bulk of the funds. The action is directed at having clear evaluation criteria in the call when the department makes efforts where employees are invited to apply for funds from their research strategic common funds (and of course, the criteria then also have to be used when the applications received are evaluated). They started to apply this in spring 2015.

	<p>2) Doctoral students' "departmental duties" is to participate in education at the basic level. Therefore, point 2) is in fact a subset of point 4).</p> <p>3) The follow-up work after the work environment indicator was made so that each division/unit chose which aspects they wanted to prioritize. Three of their five divisions/units chose to put any action about a decision. The other two divisions and the TA staff chose to focus on other things. Here the three divisional actions on decisions are listed:</p> <ul style="list-style-type: none"> - Division 1: Put missing information about the decision-making, administrative structures, etc., on the web. Highlight what information is already available on the web. - Division 2: Information meeting at divisional level about how decisions are made. - Division 3: Transparency in decisions. The division already has a management team and it is known within the division that the group takes decisions. The measure relates to that it must be informed clearly about the decisions taken. <p>4) This is one of the department joint actions in the action plan based on the results of the department's work environment survey from the fall 2014. It is the Director of studies group (led by Head of education) that is responsible for the measures. The group has taken some measures, but they will need to work on this during 2016.</p>
Goal / Strategy	<p>UU1.1.1: Improve transparency + Facilitate Work / From informal to formal content and process</p> <p>UU1.1.2: Improve transparency / From informal to formal content and process</p> <p>UU1.1.3: Improve transparency / From informal to formal content and process</p> <p>UU1.1.4: Improve transparency / From informal to formal content and process</p>

UU 1 - Policy 2	Communication and information
Aim	Making communication clearer and informal networks less important.
Description of the policy actions	<p>[UU1.2]: Formulate division actions aimed at improved communication processes.</p> <p>The policy action was in turn a result of the feedback sessions, which led to the action to have discussions in all divisions about communication and information, and to establish routines and principles for communication of decisions.</p>
Actors involved	The decision-makers/actors involved in the definition of the policies were the Heads of the divisions and the staff of the divisions. The target group of the policy is all staff of the divisions.
Approach & modality	In the fall of 2014, the department implemented a work environment indicator, which is a survey that shows what employees think about, for example, working climate, leadership and goals. It has been carried out since 2013 at 21 divisions and departments at UU with questionnaires. The survey has been followed up by staff meetings in each division, led by staff from the HR division. The results were presented and possible actions discussed. What came up at these meetings have since been followed up further. Each division head has formulated proposals for actions that have been discussed at division meetings.

	After the feedback sessions, we have been in contact with the Head of department via meetings, e-mails and phone calls.
Evaluation	<p>Several divisions/units have formalized communication processes, with weekly information meetings, in addition, division meetings a few times a semester, etc. Yet it was three divisions and two of the other units that chose to put measures related to improved communication.</p> <p>Division 2: Division meetings 2-3 times per semester with a clear agenda. The division already has a short information meeting every Friday afternoon, but it was considered to be a need to complement it with more structured meetings a few times per semester.</p> <p>Division 4: Personal meeting/discussion with each prospective teacher before assigning courses. Form web content group with clear instructions (with the purpose to improve the division webpage). The division already has both weekly meetings and department meetings.</p> <p>Division 3: Several joint activities within the division. The division is big and every year new staff comes while other leaves. One purpose of having several joint activities is that everyone should get to know each other better and the new ones come into the community faster, which in turn makes for a working environment where employees have easy to communicate with each other. The division already has a structure with weekly short briefings and thereto division meetings a few times a semester, etc., so the focus of the division came to be on achieving a work environment where everyone knows each other well enough to dare to speak at the meetings organized.</p>
Goal / Strategy	UU1.2: Improve transparency + Increase inclusivity / Promote formal process, maintain informal content + From informal to formal content and process

UU1 - Policy 3	The gender equality group.
Aim	The policy aims to locate more time to the person in charge of the gender equality group so s/he can be the driving force behind this group. Actions for increasing transparency in decision-making and inclusivity in communication processes have been taken since the task began, but there is a need to maintain and develop this type of gender equality work after the FESTA project.
Description of the policy actions	[UU1.3]: To give the gender equality officer 10% of full-time for her/his assignment instead of 5% of full-time as previously.
Actors involved	The head of department and the gender equality officer was involved in the definition of the policy; the final decision-maker was the Head of department. The target group of the policy is the gender equality officer and the gender equality group, or actually, all the staff of the department.
Approach & modality	<p>When we presented the results of the mapping in detail for the Head of department, we mediated the standpoint that the person then leading the gender equality group was allocated too little time to be the driving force behind this group.</p> <p>We have been in contact with the Head of department mainly via e-mail. Also, recurrent meetings with the gender equality officer and the gender equality group took place.</p>
Evaluation	The gender equality officer has 10% salaried time.
Goal / Strategy	UU1.3: Facilitate Work / Promote formal process, maintain informal content.

UU3 - Policy 1	Decision-making
Aim	The goal of the policy is to clarify decision-making processes.
Description of the policy actions	<p>[UU3.1.1]: Develop a document in Swedish and English in order for everyone to better understand how some procedures work in the department. The document defines the organization and functioning of the department and communicates these via the Employee Portal, which is an intranet for employees at UU.</p> <p>[UU3.1.2]: Ensure that the few Swedish-speaking PhD students who have to teach outside their own research areas (some courses are only taught in Swedish) do not get too much teaching by tolerating English in some basic level courses (a), and employing master students temporarily for teaching (b). One of the Directors of studies have been given the task to meet with the PhD students once a year (or semester if needed) to discuss and inform about their teaching duties (c).</p>
Actors involved	The head took the main issues raised in the feedback sessions further to the divisions and the actions have been proposed and decided in the department structures. The document on the organization at the department has been discussed in the department and has also been sent back and forth between the FESTA employee and the Head of department. The target group of the policy is all the staff of the department.
Approach & modality	<p>The policy's first action was originally suggested by the FESTA team with reference to the documentation of the internal organization on department and division level already made at another department. It was done by the Head of department. The second action was initiated by the Head of department and actualized in conjunction with the work environment indicator.</p> <p>Heads of department/equivalent can after agreement with the HR division call off the work environment indicator, which includes a battery of standardized survey questions based on relevant work life research. The questions that employees may respond to concerns leadership, organization, physical work, goals and strategies, and working climate.</p> <p>We have been in contact with the Head of department via meetings, e-mails and phone calls.</p>
Evaluation	<p>1. An organization document in Swedish and English has been implemented and communicated.</p> <p>2.a) For 2016, teaching time for Swedish- and English-speaking PhD-students looks like this: Swedish-speaking = 15.7% English-speaking = 15.9% (excluding two SIDA-funded doctoral students who do not teach at all) Teaching on basic courses (basic block = the first two years of the undergraduate program) is distributed in hours like this: Swedish-speaking = 1030 hours English-speaking = 1839 hours</p> <p>b) The department has to some extent employed English-speaking master students as assistants (and also as teachers to some degree) on major courses in the beginning.</p> <p>c) Both Directors of studies gather all PhD students for manning of basic courses when needed and/or every other year. Starting from the next</p>

	<p>semester, there will be meetings between the Director of undergraduate studies, program-responsible professors and all teaching staff at each program.</p> <p>Resistance never occurred, but it is controversial to use English as the teaching language at basic level.</p>
Goal / Strategy	<p>UU3.1.1: Improve transparency + Increase inclusivity / From informal to formal content and process / Supply relevant information and collect data</p> <p>UU3.1.2: Facilitate Work / Promote formal process, maintain informal content.</p>

UU3 - Policy 2	Communication and information
Aim	The goals of the policy are effective and transparent communication of made decisions and to give people a possibility to act and react and thereby make them feel part of the department.
Description of the policy actions	<p>[UU3.2.1]: In a document, available at the Employee Portal (the intranet for employees at UU), it is now said that program-responsible professor/division head should facilitate formal information meetings at the division once a month. Follow up on information meetings will be done in development dialogues.</p> <p>[UU3.2.2]: A monthly “Newsletter” has been introduced in which important information is communicated to all employees.</p> <p>[UU3.2.3]: A Director of research education is fulfilling the need for clear, well-designed communication channels to express opinions and complaints from bottom up for the PhD students since autumn 2012, while postdocs and other junior researchers can find out where to turn, if a problem occurs, in the document on the organization at the department.</p> <p>[UU3.2.4]: An “introduction package” has been developed for new staff, including all necessary information about organization, decision-making processes and other more practical things.</p> <p>[UU3.2.5]: A mentor is appointed at the department for English speaking permanent positions.</p> <p>[UU3.2.6]: The equal opportunities group is going to map the equivalence of information flow between Swedish-speaking and non-Swedish speaking groups, and will suggest improvements to the board in December 2015.</p> <p>[UU3.2.7]: a) The board members are encouraged to communicate with their research program and/or group. b) Important board decisions are communicated in the newsletter.</p>
Actors involved	The first policy was made by the Head of department on the advice of FESTA and the second one, an initiative from the Head of department. The third policy is a Faculty decision, but works in different ways at different departments. At this department, the Director of studies has an important role with individual contacts with every PhD student. The fourth policy was made by the Head of department on the advice of FESTA and the origin of the fifth policy is unknown. The sixth policy is an assignment from the Head of Department to the equal opportunities group and the seventh a task you have as a board member and which needs to be pointed out now and then. The target group of the policy actions is together all staff of the department.
Approach & modality	The head took the main issues raised in the feedback sessions further to the divisions and the actions have been proposed and decided in the department structures. The “action plan” has been sent via e-mail back and

	<p>forth between the FESTA employee and the Head of department. S/he was asked to update the action plan with measures taken to make decision-making more transparent and communication more inclusive. We also suggested possible actions in the “action plan”, which s/he either rejected or accepted.</p> <p>We have been in contact with the Head of department, the gender equality officers and the equal opportunities group via meetings and e-mail.</p>
Evaluation	<ol style="list-style-type: none"> 1. The frequency of formal information meetings varies between the programs, from weekly to monthly information meetings with notes. First it was not feasible to have regular information meetings inside all research programs, since the employees at a large research program thought it was unnecessary. They changed their minds after the work environment indicator was conducted in December 2015. The work environment indicator is a survey that shows what employees think about, for example, working climate, leadership and goals. It has been carried out since 2013 at 21 divisions and departments at UU with questionnaires. 2. The newsletter has been sent to all employees monthly. 3. The Director of PhD studies meets every PhD student once a year to talk about the individual study plan. 4. An “Introduction package” has been implemented, which entails a guided tour spread in time. It is made by means of a checklist for new employees at the department. New employees shall within two weeks from start with the help of group leaders go through relevant parts of the checklist (employment conditions and administrative routines, teaching, work environment and security, Campus management: safety and service) and then sign and leave it in the mailbox for administration available in each program. All have talks with the Director of studies in the introduction. 5. Mentors have been appointed for two English speaking associate senior lecturers (also applies to other English speaking permanent positions, but the department has not employed any such). All should have 4-year career planning programs. 6. Mapping and improvements of the equivalence of information flow between Swedish-speaking and non-Swedish speaking groups have not been done. 7. a) It is a task a board member has, but it is pointed out now and then by the Head. One research program has the action to inform before board meetings. b) Important board decisions are included in the “Newsletter”.
Goal / Strategy	<p>UU3.2.1: Improve transparency + Increase inclusivity/ From informal to formal content and process</p> <p>UU3.2.2: Improve transparency + Increase inclusivity / Supply relevant information and Collect data</p> <p>UU3.2.3: Increase inclusivity / Promote formal process, maintain informal content.</p> <p>UU3.2.4: Increase inclusivity/ From informal to formal content and process + Supply relevant information and Collect data</p> <p>UU3.2.5: Increase inclusivity/ From informal to formal content and process</p> <p>UU3.2.6: Improve transparency / From informal to formal content and process + Supply relevant information and Collect data.</p> <p>UU3.2.7: Improve transparency / From informal to formal content and process</p>

UU3 - Policy 3	The gender equality group
Aim	The policy aims to establish a strong and visible equal opportunities group aiming to be more transparent in its work on equal opportunities as well as proposing measures to distribute information equally to give equal possibilities.
Description of the policy actions	[UU3.3.1]: Establish a new, more active equal opportunities group with straight channels to power and regular communication with the department board, the department head and the management team. [UU3.3.2]: The head has given the group two tasks: a) to map the equivalence of information flow between Swedish-speaking and non-Swedish speaking groups, and b) to ensure that information on the equal opportunities group's work is visible and easily accessible to all employees, and that new employees receive information about the group's work.
Actors involved	The decision-makers/actors involved in the definition of the policy actions were the gender equality officers, the Head of departments, the FESTA employee and the working member of the faculty's equal opportunities committee. FESTA has probably initiated the first action, while the other actions are an assignment from the Head of Department to the equal opportunities group. The target group of the policy was all staff of the department.
Approach & modality	The policy is based on the results of the mapping of informal processes as well as the work done in the FESTA task on gender equality indicators. Since the new equal opportunities group was formed (June 2014), it has been a mutual agreement between the gender equality officers, the Head of department and the FESTA team to create a functional and actionable group. We have stayed in contact with the Head of department, the gender equality officers and the equal opportunities group via meetings and e-mail.
Evaluation	1. Yet no meeting with the management team, which meets at least once per semester. The department head has formal meetings with the gender equality officer at least once per semester and whenever otherwise necessary. The gender equality officer is a member of the department board. 2. a) Mapping and improvements of the equivalence of information flow between Swedish-speaking and non-Swedish speaking groups have not been done. b) Information on the equal opportunities group's work is available at the departmental surface of the Staff Portal, which is an intranet for employees at UU (it is also available for students and external users).
Goal / Strategy	UU3.3.1: Promote gender balance / From informal to formal content and process UU3.3.2: Increase inclusivity + Promote gender balance / Supply relevant information and collect data.

UU3 - Policy 4	Goals and strategies for UU3 (include both decision-making and communication)
Aim	The goals of the policy are to articulate missions and core values of the department as well as goals and strategies in three areas (world-leading research, first-class education, attaining excellence and benefiting society). See further vision and organizational culture below as well as examples of strategies.
Description of the policy actions	<p>[UU3.4]: UU3 has developed goals and strategies for the department in Swedish and English, based on goals and strategies for UU and the Faculty of Science and Technology, which should be concretized with an action plan with actions, responsibilities and timeline. The new document starts by defining the department's vision and organizational culture, for example that the communication should be open and clear, and that decision paths and meeting places for preparatory discussions should be clearly described.</p> <p>Some examples of overall strategies:</p> <ul style="list-style-type: none"> - Program structure, program responsibility and orientation will continually be followed up and revised especially in connection with retirements and other large staff changes and large calls for applications. - Active work with new recruitment of teachers should be done with high transparency and according to the department's overall vision. - Program-responsible professor is encouraged to together with the program's collegiate body formulate strategy for the best use of resources for successful research and good working environment. - Review of local holdings and equipment is carried out to optimize the use of infrastructure within and between programs (appointed working group, two times/semester) <p>One example of strategy for first-class education:</p> <ul style="list-style-type: none"> - Teachers' working time distribution is reviewed annually in consultation with Director of studies and Program-responsible professor, to review the balance between teaching and research time for the best of the individual and the department.
Actors involved	<p>The policy action was initiated by the Head of department and actualized in conjunction with the work environment indicator. Heads of department/equivalent can after agreement with the HR division call off the work environment indicator. The query tool includes a battery of standardized survey questions based on relevant work life research. The questions that employees may respond to concerns leadership, organization, physical work, goals and strategies, and working climate.</p> <p>The department has the following fora for discussion on strategic work:</p> <ul style="list-style-type: none"> - Colleague meetings (two times per semester, the Head of department calls). - Supervisor collegiate (at least two times per year, Director of PhD studies calls) - Collegiate body for teaching staff at semester start (Director of studies calls). <p>Working groups for strategic work:</p> <ul style="list-style-type: none"> - Preparatory group consisting of program-responsible professors, Head of department, deputy Head of department and Director of PhD studies

	<p>(at least once per semester, Head of department calls).</p> <ul style="list-style-type: none"> - Director of studies' group (all Directors of studies and Deputy ditto). <p>The target group of the policy was all staff of the department (and students).</p>
Approach & modality	<p>The policy was initiated by the Head of department and actualized in conjunction with the work environment indicator. The strategic work at department level is conducted in a formalized way and made visible by</p> <ul style="list-style-type: none"> ⇒ A strategy group appointed annually by the Head of department. ⇒ The strategy group formulates goals and strategies as well as action plan. <p>The work is anchored in the activities and made visible through the Employee portal, which is an intranet for employees at UU.</p> <ul style="list-style-type: none"> ⇒ The goals and strategies of the department are set for a 3-year period by the department board. ⇒ Action plan with actions, responsibilities and timeline are set annually by the department board. <p>We have stayed in contact with the Head of department via meetings and e-mails.</p>
Evaluation	Goals and strategies document for UU3 adopted by the Department board 3/2/16
Goal / Strategy	UU3.4: Improve transparency + Facilitate Work / From informal to formal content and process + Supply relevant information & Collect data.

