

EURAXESS

Internal Review

Case number

2020SE572661

Name Organisation under review

Uppsala University

Organisation's contact details

751 05 Uppsala, Uppsala, Sweden

Submission date to the European Commission

17/02/2021

1. Organisational Information

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	3890
Of whom are international (i.e. foreign nationality) *	0
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	0
Of whom are women *	1704
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	1353
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	1095
Of whom are stage R1 = in most organisations corresponding with doctoral level *	1182
Total number of students (if relevant) *	26045
Total number of staff (including management, administrative, teaching and research staff) *	6219
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	701930770
Annual organisational direct government funding (designated for research)	453457921

RESEARCH FUNDING (figures for most recent fiscal year)

€

Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	117487677
Annual funding from private, non-government sources, designated for research	130952172

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

Uppsala University, founded in 1477, is a comprehensive research-intensive university with a strong international standing. Our mission is to pursue top-quality research and education and to interact constructively with society. The University's nearly 5,000 researchers and teachers conduct world-leading research and offer a seemingly endless number of courses, and there are more than 45,000 students in Uppsala and Visby. In total, the University has 7,300 employees and a turnover of SEK 7.3 billion.

Uppsala University is divided into three disciplinary domains: humanities and social sciences, medicine and pharmacy, and science and technology.

*Please note that in the section "Staff and Students" above, Uppsala university was unable to provide information for two questions. The first regards the number of international research staff. This is not possible to state as it is against Swedish law to register nationality. This means that the number "0" does not reflect the reality at Uppsala university, but the fact that there are no registrations. The second question regards statistics on funding on an individual level, which the University does not have.

2. Strengths and weaknesses of the current practice

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

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

Ethical and professional aspects*



Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

Apart from the general foundation provided by national legislation and internal rules and guidelines, ethical and professional aspects are maintained at the University by means of courses, education and training. The GAP Analysis identified a lack of translations into English of various documents relating to safety at work. As a number of regulatory and governance documents in other areas also lacked English translations, a dedicated translator was employed for a year to address this deficiency. The most essential documents were identified and a list of priorities was drawn up. Moving forward, the University's ambition is that documents that are important for the involvement of members of staff in the University's activities will be available in both Swedish and English. This ambition is emphasised in the University's language policy, *Language policy for Uppsala University – guidance and advice on language choice and use (UFV 2016/520)*. This policy underlines the importance of parallel language use, which means that Swedish and English are the main languages used in activities at Uppsala University and that the choice between them will be governed by what is most appropriate in each situation. It can also mean using the languages side by side, for example by making documents available in a Swedish and an English version. Systematic parallel language use will prepare students and staff for international careers but also enable those with non-Swedish backgrounds to participate fully in the University's activities.

Remarks (max 500 words)

**Strengths and Weaknesses (Initial Phase)****Strengths and Weaknesses (Interim Assessment)**

Well-qualified teachers, researchers and other staff are crucial to enable the University to achieve its overall goal of conducting education and research of the highest quality and relevance. Criteria and procedures for assessing qualifications and potential in recruitment and promotion processes must be relevant, transparent and reliable, regardless of whether they concern the assessment of research, educational, collaboration or leadership qualities, administrative qualifications or personal suitability. A satisfactory supply of qualified staff, effective recruitment processes and clear career paths demand long-term, organised efforts and are high on the University's agenda. The foundation for this is laid by staff recruitment, retention and development plans at all levels of the University. One prerequisite for recruitment on objective grounds is that gender awareness informs every stage of the process, from needs analysis/person specification to appointment and continued career progression. The criteria for research and teaching quality and procedures for assessing skills and potential in connection with recruitment and promotion need to be reviewed regularly. This is essential to reduce the risk of missing well-qualified applicants because of bias linked to one of the grounds of discrimination. The University's activities in this area are described in the *Gender Mainstreaming Plan for 2020–2022 (UFV 2020/343)*. One specific action in this area is to give individuals and groups that have influence on recruitment and skills supply continuous opportunities to participate in education and training on equal opportunities in recruitment. A measure of this kind is included in the current Action Plan for implementing the Charter and Code. Because of the coronavirus pandemic, a planned course was postponed to a future action plan, but the need will persist beyond that as the members of recruitment committees change regularly. Similar activities will therefore also be organised in the next three-year period.

Internationalisation is also high on the University's agenda, and the GAP Analysis indicated that the value of mobility needs to be recognised in the University's Appointment Regulations. These regulations are under review in 2020. Setting out from the Higher Education Ordinance, the Appointment Regulations for Uppsala University specify the teaching positions offered at the University and set out the framework for the recruitment and promotion of teachers. The Appointment Regulations are designed to quality assure, support and facilitate the recruitment, retention and development of academic staff and have many points in common with HRS4R. The review is expected to result in revised Appointment Regulations that will even more clearly facilitate the work of the disciplinary domains and faculties on the recruitment and promotion of teachers and that will enhance career paths and the quality of the University's staff recruitment, retention and development activities. The draft new Appointment Regulations state explicitly that recruitment committees must treat mobility as a qualification. However, the new Appointment Regulations have not yet been adopted and the review may lead to additional changes that are relevant to HRS4R.

In 2020 the University conducted a project entitled "Academic career paths". The goal of this project is to clarify career paths at Uppsala University. Part of the project involves contributing to the revision of the Appointment Regulations mentioned above by submitting proposals from a careers perspective. Other deliverables are to explore ways of reducing the number of researchers with temporary appointments and increasing the number of positions for associate senior lecturers (assistant professors). The project has submitted proposals for action but the form in which the work will be taken forward has not yet been decided. The new decisions taken in the area will affect the new Action Plan for HRS4R.

Remarks (max 500 words)

Strengths and Weaknesses (Initial Phase)**Strengths and Weaknesses (Interim Assessment)**

The ability to attract and to create good working conditions for skilled academic staff is the most important factor for the University's success in the international academic community. An important factor in creating good working conditions is to address gender equality and equal opportunities issues. The University endeavours throughout its organisation to prevent, identify and combat risks that could lead to discrimination and harassment against members of staff and students, and continuous measures are taken to achieve gender balance in appointments, roles and in preparatory and decision-making bodies. The GAP Analysis underlined that the measures specified in the *Gender Mainstreaming Plan for 2017–2019 (UFV 2016/418)* need to be implemented. One target is to achieve gender balance among newly recruited professors, i.e. that the ratio of women/men should be in the 40-60% interval. This target has now been achieved; the annual report for 2020 shows that 44% of the newly recruited professors in 2020 were women. The other target in this area is that the members of all the University's recruitment committees will receive training in equal opportunities in recruitment. Unfortunately, this target was not met during the project period. The training courses have been carried out in two of the University's three disciplinary domains, Science and Technology and Medicine and Pharmacy, but because of the coronavirus situation the courses for recruitment committees in the Disciplinary Domain of Humanities and Social Sciences have been postponed and will take place in April 2021 instead. Addressing gender equality and equal opportunities is a long-term undertaking, and the University will continue its efforts to achieve the goals in this area in the next Action Plan for HRS4R. The University has produced a new Gender Mainstreaming Plan for 2020–2022 and has started work on implementing it. In addition, work is in progress to coordinate law-governed equal opportunities activities with the target-governed task of gender mainstreaming the University's activities.

Enabling staff to participate in decision-making and take on university roles is vitally important both for individuals and for the University. Uppsala University is keen to benefit from the different perspectives that people with different backgrounds and experiences can contribute. For this reason, strategic documents need to be available in both Swedish and English. The GAP Analysis identified the *Rules of Procedure for Uppsala University (UFV 2015/1342)* as a document that needed to be translated into English. This was one of the deliverables in the translation project mentioned earlier in this evaluation, which was a direct action resulting from HRS4R. Parallel language use continues to be a principle when new regulatory and governance documents are produced and in other contexts where it is deemed relevant. One of the intentions of parallel language use is to give individuals from other cultures a greater sense of workplace belonging at Uppsala University, and it is also highly important to enable knowledge and new research findings to be turned to account in various types of external collaboration.

Continuing professional development and access to career support have been a primary focus in work on HRS4R and several measures in the Action Plan are linked to this area. Extensive efforts have been made to take stock of, update and develop relevant and appropriate support and offerings. In addition, the accessibility of information about the substantial range of offerings has been reviewed and clarified in a communications plan. The range of courses offered has also been made available in English. These efforts are described in greater detail under the heading “Training and development” below.

Remarks (max 500 words)

Strengths and Weaknesses (Initial Phase)**Strengths and Weaknesses (Interim Assessment)**

As a large university Uppsala University has always had a considerable amount of training and development activities on offer for its staff (doctoral students are part of the employed staff). One challenge has been that these activities have been difficult to find for potential participants, since they are offered by a variety of departments, specialised in each specific topic. A need for an easier way to find developmental and career activities on offer has also been confirmed by researchers in discussions during the work with this project. The training and development described in this part is mostly focused on progress made during the HRS4R process, and activities mentioned in the Action Plan, even if an effort has been made to put it into context with other available continuing professional development (<https://mp.uu.se/en/web/info/anstallning/kompetensutveckling>).

As part of the HRS4R implementation process Uppsala University decided to create a new organisational unit called Career and Leadership in Academia (<http://katalog.uu.se/profile/?id=N96-6117>), and designated this unit as a EURAXESS Career Development Centre (<https://www.euraxess.se/information/centres/search/country/sweden-1081?page=1>). This enables a greater focus on supporting researchers, leaders and teachers at the University in the field of career and leadership development.

The *Mission, Goals and Strategies for Uppsala University* (<https://mp.uu.se/en/web/info/vart-uu/orgstyr/mal-och-strategier>) were updated in 2020 and the Vice-Chancellor has been very clear that talent attraction and career systems are a strategic development goal for the University. This commitment has been very helpful for achieving one of the very crucial first steps in the implementation plan for HRS4R, concerning the part for career support for research staff. A central assignment has been to develop an easily accessible platform in the University's intranet where the wide variety of training and development activities provided within the University are easy to find. For this purpose, Uppsala University has introduced the EURAXESS REFLEX model (<https://mp.uu.se/web/info/anstallning/akademisk-karriar>) in its intranet. The creation and implementation process of this platform, as part of the HRS4R project, has in itself been highly valuable in illuminating the varying needs to clarify available training courses on offer. The clarification process has involved defining what is delivered and by whom, creating awareness between departments of the contents of specific training courses as well as increasing motivation to continue the process that has been started.

As a result of the platform it has been possible to offer a versatile approach for a career support programme for research staff regardless of at which level they enter and which specific needs they have or which challenges they encounter. There are common general needs for each level but also rather specific individual needs depending of the level of academic experience. In developing the

career support, we have, as a university, been following the guidelines for what is required of a EURAXESS Career Development Centre (https://euraxess.ec.europa.eu/site/search?text=rcd+model&antibot_key=f6b99bce6cc751c6716e2f0b89773e15).

Doctoral students exemplify the diversity of actors supporting one specific target group. Each doctoral student has an individual study plan (<https://mp.uu.se/web/info/forska/forskarutbildning>) that is followed up annually together with the supervisor. This means that most of the career support when it comes to the scientific career is managed by the department. UU Innovation (<https://www.uuinnovation.uu.se/?languageld=1>) offers support for the utilisation of research results and supports a variety of collaboration activities. The Unit for Academic Teaching and Learning (<https://katalog.uu.se/organisation/?orgId=X247:1>) offers a multitude of programmes for higher education teacher training and support for educational development. The Study Counsellors and Career Office (<https://katalog.uu.se/organisation/?orgId=AF6:3>) offers career support primarily for doctoral students aiming for work outside of academia, including CV and face-to-face coaching, work fairs, volunteer opportunities and job database. Mobility support is provided by the International Faculty and Staff Services (<https://www.uu.se/en/about-uu/join-us/international-faculty-staff-services/>). The disciplinary domains have specialised support for their specific areas and there is also the possibility for doctoral students to join a union and get qualified career support that way. The University Library (<https://ub.uu.se/about-the-library/courses-and-events/>) offers several training courses and seminars. In order to supplement the career support to doctoral students, a need noted in the Action Plan, Uppsala University has procured an Online Career Programme for Doctoral Students (<https://mp.uu.se/en/web/info/anstallning/akademisk-karriar/karriarstod/career-pgm-doctoral-students>) delivered through the Career and Leadership Development Centre, available twice a year for all doctoral students.

The above-described diversity of internal providers of support is of course true for research staff at every other level as well. For postdocs Uppsala University has procured a half-year Online Career Programme for Postdoctoral Researchers (<https://mp.uu.se/en/web/info/anstallning/kompetensutveckling/karriar/postdoconlinecareerprogramme>) and this programme is combined with peer tutorial groups, a mentor session and individual seminars (<https://mp.uu.se/en/web/info/anstallning/akademisk-karriar/karriarstod/seminarier>) on different career topics. In developing these activities, which are very much part of the HRS4R process, discussions about needs took place with e.g. Junior Faculty (<https://www.juniorfaculty.uu.se/about-junior-faculty/>) at Uppsala University and Uppsala University Postdoc Association (<https://sites.google.com/view/uupa/home>). Individual face-to-face coaching (<https://mp.uu.se/en/web/info/anstallning/kompetensutveckling/karriar/karriarcoaching>) for a sustainable career as well as leadership coaching (<https://mp.uu.se/en/web/info/anstallning/kompetensutveckling/karriar/ledarcoaching>) is offered for everyone from postdoc level up to professor level. As a supplement to the online programme a course in basic leadership (<https://mp.uu.se/en/web/info/anstallning/kompetensutveckling/akademiskledarskap/nyfiken-pa-ledarskap>) is offered, since staff at this level will be taking on leadership roles in their careers.

For researchers who have already started to build a group and become PIs or in other ways have taken on leadership roles, questions about how to lead become very much part of their career development. For this purpose the leadership programme To Lead and Grow in Academia (<https://mp.uu.se/en/web/info/anstallning/kompetensutveckling/akademiskledarskap/grupper>) has been developed within the HRS4R process, consisting of lecture days as well as peer tutorial groups followed over one semester. For managerial positions,

management development (<https://mp.uu.se/web/info/anstallning/kompetensutveckling/chefsutveckling>) is available. It is also possible to develop one's skills further in educational development (<https://mp.uu.se/web/info/undervisa/kurser-och-seminarier/kurser>) as one's needs grow or to aim for the Distinguished Teaching Award (<https://physics.uu.se/aboutus/prizes--distinctions-and-honorary-tasks/the-distinguished-teaching-award/>). As a supplement to already available support about stress management (<https://mp.uu.se/sv/web/info/anstallning/stod-arbetsmiljo/utbildningar/stresskurser>) and wellbeing (<https://mp.uu.se/web/info/anstallning/nyanstalld/intro-verksnara-hr/halsosamt-arbetsliv>), a special course has been developed as part of the HRS4R approach supporting resilience (<https://mp.uu.se/en/web/info/anstallning/kompetensutveckling/akademiskledarskap/att-vilja-och-orka>) among researchers in their highly specialised careers.

It is natural that increased career support for doctoral students and postdocs will inevitably lead to more specific questions directed to their supervisors and PIs. Therefore, coaching skills have been added to the leadership programmes and cooperation with the educational developers has been developed in order to find good ways of supporting supervisors and PIs to approach career challenges for their group members. Pilot versions of coaching workshops have been delivered and the layout is in the process of finding its proper form, more material is constantly being developed.

Several mentoring programmes are available, e.g. within the Disciplinary Domain of Medicine and Pharmacy (<https://imbim.uu.se/Education/mentor-program-impactor/>) and a similar programme at the Disciplinary Domain of Science and Technology or the Mentor4Research (<https://uinnovation.uu.se/mentor4research-eng/>) programme where the mentors are from outside of academia. Teaching mentors are available through the Mentor Network (<https://mp.uu.se/en/web/info/undervisa/pedagogisk-utveckling/natverk/mentorskollegiet>).

Researchers and group leaders at a senior level can be appointed for participation in an advanced programme for research leaders called Forskning och ledarskap (<http://katalog.uu.se/profile/?id=N96-6117>) or a leadership programme in cooperation with the partner universities in U4Society (Ghent, Groningen, Göttingen, Tartu and Uppsala) called Leading Universities in a Global Context (<https://mp.uu.se/en/web/info/anstallning/kompetensutveckling/akademiskledarskap/leaduniglobcont>). For managers in charge of staff, such as vice-rectors, deans, heads of department and other managers, the University offers various forms of support and training, such as courses, seminars, individual support, networks for collegial experience exchange and consultation on organisational development. The aim is to create increased security and skill in the managerial role and to provide conditions for developing clear and effective leadership. The University also offers development opportunities for managerial support, including in the form of training for local HR roles.

Communications about the career support activities are described above in the communication plan but are also part of continuous and active communication with participants in the diverse activities. Every programme is evaluated in a survey and adapted according to needs and perceived value. A newsletter about new seminars and programmes is regularly sent to key stakeholders within the organisation. The regular coaching offer and peer tutorial groups (<https://www.timecenter.se/karriarochledning/>) for researchers,

teachers and leaders at literally every level have also turned out to be a good indicator of current career needs since the process is delivered internally; even if this in no way is the intention of the sessions, they do help to maintain a close contact with the target groups. Everyday input like this is valuable combined with continuous dialogue with e.g. deans and other key stakeholders at department level.

The University also participates in several national and international collaborations that create more opportunities within the area of career support and professional development. One example is the University's membership of the European University Network ENLIGHT. This cooperation will encompass several activities designed to enhance quality in research and education. For example, a Doctoral Network will be launched from the very start to connect the Doctoral Schools of the ENLIGHT partners and extend the available training opportunities for PhD students. Another initiative is an ENLIGHT Teacher Education Network, which is intended to internationalise teacher education programmes, create sustainable, bottom-up collaboration, and strengthen research in the field of educational sciences in the mid-term.

The description above is comprehensive but to include every possible training activity offered to staff within Uppsala University would not be feasible since new activities emerge constantly. New activities are regularly published on the Intranet. A not insignificant part of planned activities has had to be rescheduled or cancelled due to the pandemic.

For the future we can foresee a need to frequently develop and evaluate training and development activities. So far, the activities undertaken as part of the HRS4R process have been very well received by the target groups but it is a continuous challenge to stay connected with everyone involved, in order to maintain and improve activities that match perceived needs. It is also important to relentlessly spread the information about available support in order to draw attention to these matters among the faculty, from doctoral students to professors. It should be easy for a faculty member to understand how to utilise the available resources, and in a large diverse organisation this is something we constantly need to work on.

Remarks (max 500 words)

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

The overall priorities are the same, in both the short and the long term.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? (max 500 words)

The current situation in the world due to the coronavirus pandemic has naturally had a huge impact on society, individuals and of course on Uppsala University. For example, in the spring the University quickly switched to remote education and most employees have been working wholly or partly remotely during this period. However, much of the work on implementing HRS4R had come a long way. A number of activities in the Action Plan have been moved forward within the defined framework of the project, but only a few have had to be moved to the next Action Plan. Otherwise, no significant changes outside the University have occurred that have affected the work on HRS4R.

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

After the current Action Plan for Charter and Code had been adopted and approved by the EU, several University-wide recruitment and career projects started at the University. These projects differ in their focus and are called “The role of head of department”, “Academic career paths” and “Educational expertise in connection with promotion”. The purpose of the projects is to promote conditions for leading strategic development and renewal, to support the University’s strategic work on recruitment and career opportunities for teaching staff, and to promote and consolidate educational expertise. These projects have just concluded and at the time of writing it is too early to say exactly what proposals for ongoing action and measures Uppsala University will choose to move forward with. However, it is likely that our continued efforts in this area will be incorporated in the new Action Plan.

As previously mentioned, the University is conducting a review of its Appointment Regulations in 2020. The work on the review is approaching completion and the changes that are decided on will probably also affect the future Action Plan.

3. Actions

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

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

Proposed ACTIONS

Action 1

Translation of Uppsala University's internal regulations and guidance documents into English.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
7. Good practice in research	2019	Communications division	Target: Translated documents published on the University's website. Indicators: - By Q3 2019 more than 50% of the documents on the University's website will be in English. - Latest Q2 2020 all documents are translated.
Current Status	Remarks		
COMPLETED			

Proposed ACTIONS

Action 2

Include the merit value of mobility in the Appointment Regulations for Uppsala University.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
18. Recognition of mobility experience (Code)	October 2019	HR Division	Communicated and revised Appointment Regulations.
Current Status	Remarks		
EXTENDED	The draft new Appointment Regulations for the University state that recruitment committees are to treat mobility as a valuable qualification. The new Appointment Regulations have not yet been approved.		

Proposed ACTIONS

Action 3

Implement the activities proposed in the Gender Mainstreaming Plan for 2017–2019

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
27. Gender balance	Continuous	Equal Opportunity Advisory Board and HR Division	Targets: -To achieve a balanced gender distribution among professors. - Members of all recruitment committees at the University are trained including in gender mainstreaming components. Indicators: -By Q3 2019 at least 50 per cent of the members of the University's recruitment committees have received training, including

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			gender mainstreaming components. - By Q3 2020 the training should be offered to all members of recruitment committees at the University. - The gender ratio of newly recruited professors should be between 40 and 60 per cent

Proposed ACTIONS

Current Status	Remarks
EXTENDED	In 2020, Uppsala university achieved a balanced gender distribution among professors. However, because of the Coronavirus, training in equal opportunities in recruitment have not been carried out in all disciplinary domains. The plan is that this target will be met in April 2021. Work on gender mainstreaming is a long-term, continuous commitment. The ongoing work is specified in detail in the university's Gender Mainstreaming Plan for 2020–2022 (UFV 202/343).

Proposed ACTIONS

Action 4

Create a comprehensive career development and support function for research staff.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
28. Career development	October 2018/continuous	Division for Quality Enhancement,	Target: A programme for career support will be developed and implemented.
30. Access to career advice		with the aid of the Career Centre, HR	Indicator: - By Q3 2019 a programme should be offered to all research staff when their employment starts. Target: Offer career development and support function to research staff.
35. Participation in decision-making bodies		Division, the Unit for Leadership Development and the Faculty Offices for the Disciplinary Domains	Indicator: By Q3 2019 all information regarding career support

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			<p>functions should be available on a structured website on the University's intranet.</p> <p>Target: Make relevant documents available to research staff in English, such as individual study plans for all PhD students.</p> <p>Indicator: By Q2 2019 relevant documents are available in English, such as individual study plans for all PhD</p>

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			<p>students. Target: More coordination between different support functions. Indicator: - By Q3 2019 all relevant support staff at the University have been invited to learn more about career support functions available on the University's intranet. Target: Courses and support for PhD students, postdocs and</p>

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			junior researchers on topics such as providing skills in project management, leadership, languages and career planning. Indicator: - By Q3 2019 support for PhD students, postdocs and junior researchers will be offered on a structured website on the University's intranet. The support will include

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			<p>courses on topics such as providing skills in project management, leadership, languages and career planning.</p> <p>Target: Translate the document Arbetsordning för Uppsala universitet (Rules of procedure for Uppsala University).</p> <p>Indicator: - By Q2 2019 the Arbetsordning för Uppsala universitet (UFV 2015/1342) is</p>

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			translated into English.
Current Status	Remarks		
COMPLETED	The career support programme and courses offered will be continuously developed and information about the support offered by the University in this area will be kept continuously updated.		

Proposed ACTIONS

Action 5

Supervision and managerial duties

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
37. Supervision and managerial duties	April 2019, October 2019	HR Division, the Unit for Leadership Development and the Faculty Offices for the Disciplinary Domains	<p>Target: Make relevant documents available to research staff in English, such as individual study plans for all PhD students.</p> <p>Indicator: - By Q2 2019 relevant documents are available in English, such as individual study plans for all PhD students.</p> <p>Target: Communicate Uppsala University's organisation, function and</p>

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			structure to all new employees. Indicator: By Q3 2019 information on Uppsala University's organisation, function and structure is included in all introductory courses given to new employees.
Current Status	Remarks		
COMPLETED	Information about Uppsala University's organisation and objectives will be continuously provided to new employees. The HR Division continues to exercise responsibility for coordinating overall introduction at the University. Development work has started on developing and partially digitalising the University-wide introduction process.		

Proposed ACTIONS

Action 6

Continuing Professional Development Access to research training and continuous development

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
38. Continuing Professional Development	October 2019	HR Division, the Unit for Leadership Development and the Faculty Offices for the Disciplinary Domains	Target: Accessible and continuous career planning programmes for all academic staff. Indicators: - By Q3 2019 information for academic staff is available on a structured website on the University's intranet for relevant courses regarding improved skills in project management, leadership, languages and career planning. - By Q3 2019 there
39. Access to research training and continuous development			

Proposed ACTIONS

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
			is an internal communication plan regarding access to professional development.
Current Status	Remarks		
COMPLETED	The career support programme and courses offered will be continuously developed and information about the support offered by the University in this area will be kept continuously updated.		

Unselected principles:

1. Research freedom
2. Ethical principles
3. Professional responsibility
4. Professional attitude
5. Contractual and legal obligations
6. Accountability
8. Dissemination, exploitation of results
9. Public engagement
10. Non discrimination
11. Evaluation/ appraisal systems
12. Recruitment
13. Recruitment (Code)
14. Selection (Code)
15. Transparency (Code)
16. Judging merit (Code)
17. Variations in the chronological order of CVs (Code)
19. Recognition of qualifications (Code)
20. Seniority (Code)
21. Postdoctoral appointments (Code)
22. Recognition of the profession
23. Research environment
24. Working conditions
25. Stability and permanence of employment
26. Funding and salaries
29. Value of mobility
31. Intellectual Property Rights

32. Co-authorship 33. Teaching 34. Complains/ appeals 36. Relation with supervisors 40. Supervision

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site *:

URL *: <https://uu.se/en/about-uu/join-us/charter-code/>
(<https://uu.se/en/about-uu/join-us/charter-code/>)

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles (Initial Phase)

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

As stated in the OTM-R checklist submitted by the University, both the national legislation and the University's own guidelines and procedures in the area work well. Talent attraction and career systems are one of five specially prioritised areas in the document *Uppsala University: Mission, Goals and Strategies (UFV 2018/641)* and various development projects are in progress aimed at further improving work on recruitment and selection. The review of the University's Appointment Regulations mentioned earlier will have a major impact on OTM-R, as does the University's work regarding recruitment and working conditions for researchers and teachers from a gender equality and equal opportunities perspective.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

URL: The GAP Analysis and the OTM-R checklist are merged into one document found at:

<http://files.webb.uu.se/uploader/744/GAP-analys-Charter-and-Code.pdf> Link to the Appointment Regulations for Uppsala University:

https://regler.uu.se/digitalAssets/92/c_92570-l_1-k_appointment-regulations-for-uppsala-university.pdf
(unsafe:The GAP Analysis and the OTM-R checklist are merged into one document found at:

<http://files.webb.uu.se/uploader/744/GAP-analys-Charter-and-Code.pdf> Link to the Appointment Regulations for Uppsala University:

https://regler.uu.se/digitalAssets/92/c_92570-l_1-k_appointment-regulations-for-uppsala-university.pdf)

4. Implementation

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

Uppsala University has chosen to work on the implementation of the Action Plan for Charter and Code in project form, in line with the University's project model. The process of implementation has therefore had a project organisation with client (Vice-Chancellor), project owner (Human Resources Director), project manager (head of unit at Human Resources Division), project team and steering committee. In addition, four reference groups have been attached to the project. The reference groups have consisted of representatives of people in the target group for the process: the Doctoral Board, Uppsala University Postdoc Association, Junior Faculty, and a broad reference group made up of people at different levels in the academic departments and administration and broadly representative of the different disciplinary domains. The latter group has been composed partially of people who were involved in preparing the HRS4R application. They have thus been able to contribute experience from that process and provide continuity. The reference groups have had regular meetings with the project team, received information about the progress of the project and had the opportunity to give their views on how the various measures in the Action Plan should be implemented. The project manager has reported to the steering committee about three times per semester and has delivered annual status reports to the Vice-Chancellor and the employee organisations.

Communication has been an important part of the implementation process, including communication with the actors directly involved in the work and communication about actions taken. Uppsala University is a large workplace with very diverse activities and it has been a challenge to reach all members of staff. To assist in this, the project team has therefore drawn up a communications plan. Dialogue with the people involved

in the project has primarily occurred in the form of meetings, which have played a key role in the process. A large number of meetings have been held: project team meetings, reference group meetings, steering committee meetings, information meetings, meetings with employee organisations and working meetings associated with the various measures.

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

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

How have you prepared the internal review?*



Detailed description and duly justification (max. 500 words)

The project team has been responsible for and has carried out the self-evaluation. The members of the project team, which has consisted of specialists, made proposals on the organisation of the evaluation process and the contents of the responses. The project manager has had principal responsibility for the evaluation and many members of staff, including people outside the project team, have contributed expertise in different areas. Many members of staff at the University have been involved in the work on the various measures in the Action Plan, and information about the progress of the measures has been collected from them continuously. Besides what has been described above, the evaluation is based on previous status reports to the steering committee and on annual reports to the Vice-Chancellor and the employee organisations. The steering committee has approved the organisation of the evaluation process and also the final version.

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



Detailed description and duly justification (max. 500 words)

The project's four reference groups have all consisted of people who represent the target group for HRS4R. The reference groups have had meetings with the project team once or twice per semester and have then received information about the progress of the work and been given the opportunity to comment on the design of the measures and influence their future shape. The University's three vice-rectors – academic leaders who each represent a disciplinary domain – have been fully informed about the project through their participation in the steering committee, which has also given them ample opportunities to influence the project. The Action Plan has had a strong focus on career support and continuing professional development, and measures in this area have been communicated to the target group via various channels. In addition to this, the employee organisations have received ongoing information about the work.

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



Detailed description and duly justification (max. 500 words)

The implementation project has reported to the steering committee about three times per semester. The steering committee has been the same as for other ongoing strategic human resources projects at the University, which has given a clear overview and has made synergies visible while reducing the risk of potential overlaps and duplicated efforts. The members are the University Director (chair), the University's three vice-rectors, the Human Resources Director, the head of the Unit for Quality and Evaluation and a student representative. The steering committee has had the task of ensuring that the project has the capacity and conditions for achieving its targets, including necessary resources, and that decisions are taken about the choices and direction of the project.

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



Detailed description and duly justification (max. 500 words)

The University's various policy and governance documents are fully in line with Charter and Code in our ambition to constantly enhance the quality of research and innovation, following the HRS4R process, and to improve the attractiveness of researchers' careers. The University works consciously on being an attractive employer and improving in this regard. The document *Uppsala University: Mission, Goals and Strategies (UFV 2018/641)* lists five strategic priorities: quality assurance and enhancement, internationalisation, infrastructure, talent attraction and career systems, support and wider environment. Development in these areas of priority will make Uppsala University a more attractive employer in an international arena and there are a number of links with HRS4R and the current Action Plan for implementing Charter and Code.

Effective work on investigating, implementing and monitoring activities in ways that prevent ill health and accidents at work and bring about a satisfactory work environment is essential for the University to achieve its goals. Development of the systematic work environment management is therefore an important part of work on the University's goals and strategies. A multi-year development action addressing the University's systematic work environment management is currently in progress, mainly focusing on the organisational and social work environment. It is intended to result in improved support for local work environment management. This includes developing a safety inspection routine for the organisational and social work environment, developing procedures and support material for work environment risk assessment and action plans, producing online work environment training courses and carrying out joint work environment courses for HR, managers and safety representatives. The equal opportunities perspective will be integrated in these efforts. In addition, the University is going to introduce an online incident management system for the work environment, and a system will be developed for monitoring systematic work environment management at different levels.

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



Detailed description and duly justification (max. 500 words)

The Vice-Chancellor has taken the initiative and the decision that the University will work in accordance with the Charter and Code principles. This has been high on the Vice-Chancellor's agenda and has therefore been a clear priority for all actors involved. The organisation of the implementation process in project form has enabled the work to be pursued in accordance with the University's established project model. The project manager has reported on the project's progress to the steering committee for human resources projects on a monthly basis. Ahead of these meetings, the members of the steering committee have received a written status report that has later been discussed at the meeting. The steering committee has therefore had a clear view of the implementation process and has been able to follow advances and challenges.

How are you monitoring progress (timeline)?*



Detailed description and duly justification (max. 500 words)

Progress is being monitored through the University's project model. See the response above.

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



Detailed description and duly justification (max. 500 words)

As this work will be pursued in the line organisation, i.e. at each division/department, progress will be measured in line with the established model for operational planning and operational follow-up at the University.

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



Detailed description and duly justification (max. 500 words)

After the implementation project has concluded, continued work on HRS4R will proceed continuously and will be evaluated in three-yearly cycles. This work will be pursued in the line organisation, i.e. at each division/department, and will be monitored in line with the established model for operational planning and operational follow-up at the University. Each division/department is required to submit operational plans for the next three-year period, which are discussed with their disciplinary domain management/equivalent in operational dialogues. Particular attention is given to priorities and challenges identified by the division/department.

In addition, a coordinator has been appointed at the Human Resources Division to be responsible for coordinating, communicating and reporting on the various actions in the revised Action Plan. The coordinator will also have principal responsibility for the external evaluation. Over and above this, the Vice-Chancellor has instructed the disciplinary domain boards and the University Director to contribute to development work on Charter and Code over the next three-year period. The University Director is responsible for reporting on the work to the Vice-Chancellor.

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