

TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name Organisation under review:	UPPSALA UNIVERSITY, Uppsala, Sweden
Organisation's contact persons:	Anna Ledin, Planning Division, Uppsala University (anna.ledin@uadm.uu.se)
Organisation's HR Strategy and Action Plan can be found	here .

SUBMISSION DATE: INITIAL: MAY 22ND 2018, MODIFIED: FEBRUARY 7TH 2019

1. ORGANISATIONAL INFORMATION

Please provide a limited number of 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	3,929
Of whom are international (i.e. foreign nationality)	32%
Of whom are externally funded (i.e. for whom the organisation is host organisation)	54% external funding
Of whom are women	1,681
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	1,225
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	1,033
Of whom are stage R1 = in most organisations corresponding with doctoral level	1,322
Total number of students (if relevant)	23,734
Total number of staff (including management, administrative, teaching and research staff)	5,944
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	SEK 6,643,000,000
Annual organisational direct government funding (designated for research)	SEK 3,887,145,000
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	SEK 1,187,948,000
Annual funding from private, non-government sources, designated for research	SEK 995,149,000
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
Uppsala University, founded in 1477, is one of the larger universities in Sweden with around 7,000 employees and more than 42,000 students. Uppsala University is also distinguished by its academic traditions and rich cultural life, with choirs, orchestras and a vibrant student scene dominated by the 'student nations'. Uppsala University has two locations, Uppsala and Visby at Gotland (named Campus Gotland). Uppsala is a full-scale, comprehensive research university, characterised by a decentralised organisation with strongly departmentalised disciplines, and its	

leadership is based on collegial principles. The mission is to gain and disseminate knowledge for the benefit of humankind and for a better world.

2. NARRATIVE (MAX 2 PAGES)

Uppsala University's mission is to gain and disseminate knowledge for the benefit of humankind and for a better world. As we strive to do this we work hard to develop our university as a local, national and international meeting place for knowledge, culture and critical dialogue. We are a comprehensive university where new areas of knowledge often arise in cross-disciplinary cooperation. The University is an integrated educational and research environment where academic staff participate in both education and research.

Ethical and professional aspects

Uppsala University's many parts are held together by the shared values of academic integrity, belief in the central role of knowledge and education in society, and the importance of open, frank and critical discussion.

The GAP Analysis finds that our current strengths lie in *research freedom, ethical principles, professional responsibility, professional attitude, contractual and legal obligations, accountability, dissemination, exploitation of results, public engagement, non-discrimination, and evaluation/appraisal systems where these are regarded as fully implemented. Good practice in research* is, on the other hand, assessed to be almost but not fully implemented. Uppsala University is strategically and systematically working with safe working practices, and has established a wide range of programmes, action plans and guidelines concerning crisis organisation, fire safety, personal safety, IT security etc. A development area is to translate all relevant documents into English.

In 2016 and 2017 a major university-wide research evaluation with 130 visiting reviewers was conducted at Uppsala University, Quality and Renewal 2017 (Q&R17), with the objective to evaluate and analyse preconditions and processes for good quality and strategic renewal of research within the research environments at Uppsala University. Under the theme *ethical and professional aspects*, and in relation to the weaknesses in the GAP Analysis, the Q&R17 project management team recommended that the University should move towards a situation where multilingual communication contributes to integrating staff and students in its activities. It was also recommended that research ethics should become an integral part of the ongoing conversation in research seminars and to examine whether the culture in the research environment favours some researchers over others on irrelevant grounds. Positive remarks and assessments from the external expert panels, however, highlight strengths concerning good academic cultures, professional performance of academic leaders, strong records of external collaboration, outreach and impact, high awareness of the importance of equality, and ability to take concrete action.

Recruitment and selection

An objective in the University's Missions and Core Values (UFV 2013/110) is to attract the most qualified academic staff from all over the world. We advertise vacancies internationally in relevant languages. Another objective is that our postgraduate education should be a well-known and attractive choice for the most motivated and qualified students from all over the world, and that the proportion of international students in postgraduate education should increase.

According to the *recruitment and selection* section of the GAP Analysis, the University has fully implemented the aspects concerning *recruitment, selection, transparency, judging merit, variations in the chronological order of CVs, recognition of qualifications, seniority, and postdoctoral appointments*. Development areas include recognition of mobility experience. There are guidelines for recruiting teaching staff. External assessors review the applications for teaching positions, as regulated by Appointment Regulations for Uppsala University. The external assessment reviews

include teaching and research skills as well as other competences, as defined in the announcement of the position in question.

Working conditions and social security

According to the GAP Analysis, Uppsala University has fully implemented aspects regarding *recognition of the profession, research environment, working conditions, stability and permanence of employment, funding and salaries, value of mobility, intellectual property rights, co-authorship, teaching, and complaints and appeals*. Many of these aspects are regulated by Swedish law, but have also been strengthened over time and are as such results of the University's historically long academic tradition of world-class research and integration with society. However, there are also a number of aspects that are almost but not fully implemented where actions need to be taken, such as *gender balance, career development, access to career advice, and participation in decision making bodies*.

Uppsala University complies with the principles of equal opportunities. Basic principles of gender equality and the equal value of all people are applied so that staff and students are supported and encouraged to develop their capability to the full. There is an Equal Opportunities Advisory Board that drafts strategic plans, proposes actions and analyses the annual follow-up of the University's work on equal opportunities. This work is directed by the Uppsala University Equal Opportunities Programme (UFV 2014/455), the Action Plan for Equal Opportunities (UFV 2014/455) and the Gender Mainstreaming Plan for 2017–2019 (UFV 2016/418), which was adopted in May 2017 and now needs to be implemented.

Career development needs to be improved. This regards the improvement, accessibility, coherence, and presentation of career support. Additionally, different career support functions must to be better coordinated and relevant information needs to be made available in English. Likewise, *access to career advice* is an area which should be improved. This includes career planning for junior researchers (PhD students included); more courses in university management and project management, leadership and career planning; and better internal communication regarding access to career development and advice. As regards *participation in decision making bodies*, the Arbetsordning för Uppsala universitet¹ (UFV 2015/1342) needs to be translated into English. The Q&R17 exercise recommends that a strategy to integrate international staff be developed, not least in leadership positions.

Training and development

Aspects in the GAP Analysis that are fully implemented are *relation with supervisors and supervision*. The aspect *supervision and managerial duties* is deemed almost fully implemented, while *access to research training and continuous development* is partially implemented, and *continuing professional development* is insufficiently implemented.

A strength brought up by the external expert panel in Q&R17 is a good research environment for PhD students, including ample opportunities for international experiences. However, as for *supervision and managerial duties*, relevant documents such as individual study plans for all PhD students are not yet available in English. Additionally, compulsory introduction courses regarding Uppsala University's organisational and structure need to be developed. Likewise, *access to research training and continuing professional development* require further implementations and improvements. The Q&R17 project team recommends that better fora for continuous discussion on strategic matters at all levels of the University be created and that goals and means of evaluating success be set and identified.

¹ Rules and procedures for Uppsala University Governance

3. ACTIONS

Please provide a list of all actions to be undertaken in this HR strategy. The list must be accompanied by an extended version in which the actions are described in more detail. The overview must contain at least the following headings: Title action – timing – Responsible Unit – Indicator(s) / Target(s).

Examples:

<i>Title action</i>	<i>Timing (at least by year's quarter/semester)</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target(s)</i>
7 Translation of Uppsala University's internal regulations and guidance documents into English.	2019	<i>Communications Division</i>	<u>Target:</u> Translated documents published on the University's website. <u>Indicators:</u> - 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.
18 Include the merit value of mobility in the Appointment Regulation for Uppsala University.	October 2019	<i>HR Division</i>	<u>Target:</u> Communicated and revised Appointment Regulation. <u>Indicator:</u> By Q3 2019 the HR-division have a suggestion on a revised Appointment Regulation.
27 Implement the activities proposed in the <i>Gender Mainstreaming Plan for 2017–2019</i>	<i>Continuous</i>	<i>Equal Opportunity Advisory Board and HR Division</i>	<u>Targets:</u> - To achieve a balanced gender distribution among professors - Members of all recruitment committees at the University are trained including within gender mainstreaming components. <u>Indicators:</u> - By Q3 2019 at least 50 percent of the members of the University's recruitment committees have received training, including gender mainstreaming components. - By Q3 2020 the training should be offered to all members of recruitment committees on the University. - The gender ratio of newly recruited professors should stay between 40 and 60 percent
28, 30, 35 Create a comprehensive career development and support function for research staff.	October 2018/ <i>continuous</i>	<i>The Division for Quality Enhancement, with the aid of the Career Centre, HR Division, The Unit for Leadership</i>	<u>Target:</u> A program for career support will be developed and implemented. <u>Indicator:</u> By Q3 2019 a program should be offered to all research staff when their employment starts.

	<p>October 2019</p> <p>April 2019</p> <p>Continuous</p> <p>October 2019</p> <p>June 2019</p>	<p><i>Development and the Faculty Offices for the Scientific Domains</i></p>	<p><u>Target:</u> Offer career development and support function to research staff.</p> <p><u>Indicator:</u> By Q3 2019 all information regarding career support functions should be available on a structured website on the University's intranet.</p> <p><u>Target:</u> Make relevant documents available in English for research staff, such as individual study plans for all PhD-students.</p> <p><u>Indicator:</u> By Q2 2019 relevant documents are available in English such as individual study plans for all PhD-students.</p> <p><u>Target:</u> More coordination between different support functions.</p> <p><u>Indicator:</u> 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.</p> <p><u>Target:</u> Courses and support for PhD students, postdocs and junior researchers on topics such as providing skills in project management, leadership, languages and career planning.</p> <p><u>Indicator:</u> 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 courses on topics such as providing skills in project management, leadership, languages and career planning.</p> <p><u>Target:</u> Translate the document <i>Arbetsordning för Uppsala universitet (The internal working order at the university)</i>.</p> <p><u>Indicator:</u> By Q2 2019 the <i>Arbetsordning för Uppsala universitet</i> (UFV 2015/1342) is translated into English.</p>
<p>37</p> <p>Supervision and managerial duties</p>	<p>April 2019</p>	<p><i>HR Division, The unit for leadership development and the faculty offices for the</i></p>	<p><u>Target:</u> Make relevant documents available in English for research staff, such as individual study plans for all PhD-students.</p> <p><u>Indicator:</u> By Q2 2019 relevant documents are available in</p>

	October 2019	<i>scientific domains</i>	English such as individual study plans for all PhD-students. <u>Target:</u> Communicate Uppsala University's organisation, function and structure to all new employees. <u>Indicator:</u> By Q3 2019 information on Uppsala University's organisation, function and structure is included in all introductory courses given to new employees.
38, 39 Continuing Professional Development Access to research training and continuous development	October 2019	<i>HR Division, The Unit for Leadership Development and the Faculty Offices for the scientific domains</i>	<u>Target:</u> Accessible and continuous career planning programs for all academic staff. <u>Indicators:</u> - 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 is an internal communication plan regarding access to professional development.

4. IMPLEMENTATION (MAX. 1 PAGE)

Do you have an Implementation Committee and/or Steering Group regularly overseeing progress?

- An Implementation Committee, appointed by the Vice-Chancellor, will be instituted to supervise the implementation of the actions. The Implementation Committee will be in charge of the Internal Review after 24 months, where a report on the progress of implementing the actions will be compiled. The report will be the basis of the Revised Action Plan.

How do you involve the research community, your main stakeholders, in the implementation process?

- Since the process of planning, controlling and monitoring include all the Departments, Faculties and Disciplinary Domains, as well as the University Library and the Divisions of the University Administration, all parts of the University will be involved.

How will your organisation ensure that the proposed actions will also be implemented?

- The implementation of the actions identified in the Action Plan will be incorporated into the regular, annual, process of planning, controlling and monitoring the operations of Uppsala University. Directives will be given, and the responsible Divisions and other parties will report their progress once a year.

Is there evidence of any alignment of the HRS4R with Organisational Policies? For example, is the HRS4R recognized in the Organisation's Research Strategy, overarching HR Policy?

- As stated in the previous point, the HRS4R has entered the University's Institutional Strategic Plan. As it is a cross-departmental project, it is also implemented into the different Departments that are directly concerned by implementation of the University's Strategy (HR, Disciplinary Domains, and Division of Quality Enhancement etc.).

How will you monitor progress?

- The indicators defined in the Action Plan will be formalised more precisely and transmitted to the relevant Services/Departments, which will implement them so as to allow for monitoring, regular updates and provision of data when requested. The Project Manager will ensure the follow-up and gather regular relevant workshops, and also report on the progress twice a year to the Steering Committee. Moreover, the Project Manager will write a Yearly Progress Report based on these indicators to be presented to the University Management and researchers' representative bodies.

How do you expect to prepare the internal and external review?

- The Implementation Committee will also be responsible for preparing and planning for the first external review, by setting up visiting schedules, collating relevant information et cetera.