

TEMPLATE 4: ACTION PLAN

Case number: 2019SE444623.

Name Organisation under review: Umeå University

Organisation's contact details: Umeå University, SE-901 87 Umeå

SUBMISSION DATE: 2020-02-24

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	2,342
Of whom are international (i.e. foreign nationality)	N/a ¹
Of whom are externally funded (i.e. for whom the organisation is host organisation)	N/a ²
Of whom are women	1,117
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	628 ³
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	930 ⁴
Of whom are stage R1 = in most organisations corresponding with doctoral level	562 ⁵
Total number of students (if relevant)	16,720
Total number of staff (including management, administrative, teaching and research staff)	3,653
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	427,465,325
Annual organisational direct government funding (designated for research)	124,217,268
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	65,471,597
Annual funding from private, non-government sources, designated for research	24,196,024 ⁶

¹ We are unable to report such numbers. According to the Swedish Higher Education Authority, 25 % of our doctoral students were international autumn 2018.

² We do not carry this statistic. It is common that researchers have a mix of internal (governmental) and external research funding.

³ Approximate number: R2 and R3 are not separated in official reporting. R4 is 300 and R3 is estimated to 328.

⁴ Approximate number: R2 and R3 are not separated in official reporting.

⁵ Out of which 467 are doctoral students (i.e. has a doctoral student position or are registered and active doctoral students) and 95 are assistants.

⁶ In addition, commissioned research equivalent to approximately 14,802,274 €.

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

[Umeå University](#), Sweden's fifth oldest university has a strong international presence with students and researchers from all over the world. It aims to continue to become one of best environments for study and research and meet the challenges of a global society. Research and education span the [humanities](#), [medicine](#), [natural sciences](#), [social sciences](#) and [education science](#). Umeå University conducts [groundbreaking](#) research, e.g. in the life sciences, medicine, gender research, biological chemistry, ecosystem dynamics, energy, infections, plant and forest biotechnology and social welfare. It is a hub for [AI research](#) and has a strong interdisciplinary interest in sustainability.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your Organisation.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES free text maximum 500 words per theme
Ethical and professional aspects	<p>Umeå University aims for high quality scholarship. Its vision states that "Through science-based knowledge, commitment and an ethical approach, we contribute to a society that is well equipped to meet current and future challenges." As such, ethical and professional aspects are important and overall Umeå University has well developed policies and support structures covering ethical and professional practices.</p> <p>The following principles; <i>1. Research freedom, 3. Professional responsibility, 6. Accountability, 8. Dissemination and exploitation of results, 9. Public engagement, 10. Non-discrimination, and 11. Evaluation/appraisal systems</i> are considered to be fully implemented. Continuous improvement activities are conducted to further strengthen these areas.</p> <p>Five principles have been identified where Umeå University is strong in most aspects, but where improvements are needed to consider the principles implemented in a way that is in line with the aspirations. For <i>2. Ethical principles, 4. Professional attitude</i> and <i>7. Good practice in research</i>, the gap analysis states a need to develop the research support. Several activities have been initiated or are proposed to strengthen availability of advice to researchers on a wide spectrum of ethical, data storage and professional issues responding to the needs of different disciplines and different stages of the research process. In addition, <i>4. Professional attitude</i> and <i>5. Contractual and legal obligations</i> are areas where surveys as well as conversations with researchers have indicated shortcomings in the knowledge of strategies, values and regulations of Umeå University and/or of obligations and rights. It is also important to follow-up that relevant information is translated to English and that relevant information is easily accessible and current.</p>
Recruitment and selection	<p>In line with both the university's vision to attract successful faculty and staff and the Swedish legislation on appointments within the public sector, we have a set of policies building on open, transparent and merit-based recruitment, primarily the Appointments Procedure for Teachers at Umeå University. Policies are generally university-wide, but some provide opportunities for the four faculties to adapt to their specific needs, for example regarding selection criteria for professors. Each faculty has one or several gender-balanced appointment panels with responsibility for suggesting which candidate to</p>

	<p>appoint (with the exception of doctoral student positions and postdoctoral fellow positions), based on applications, interviews and potential presentations, and on reviews from external experts (when applicable). Positions are normally advertised both in Swedish and in English. There are procedures where the proposal to advertise a position, the advertisement itself, and the choice of the suggested external experts are subject to scrutiny, which also safeguards that policies are followed. Key performance indicators regarding recruitment are presented in the annual report, providing indications of how well the goals of the policies are met.</p> <p>The following principles are considered to be fully implemented: <i>12 Recruitment, 16 Judging merit, 17. Variations in the Chronological order of CVs, 18. Recognition of mobility experience, 19. Recognition of qualifications, 20. Seniority and 21. Postdoctoral appointments.</i></p> <p>For three principles, smaller gaps have been identified. For principles <i>13. Recruitment and 15. Transparency</i> a gap has been identified in that career development prospects are not described in advertisements or related links and/or are not readily understandable for international applicants for positions such as associate professor. Development of such information is in progress. For principle <i>14. Selection</i> the gap concerns gaining of appointment panels. Faculty level appointment panels receive training, but the training should be more systematic, that is, held following each appointment of a new panel. Increased access to training for the recruitment of doctoral students and postdoctoral fellows (typically not handled in the faculty appointment panels) is also proposed.</p>
Working conditions	<p>Umeå University's vision document states; "Successful faculty and staff, and motivated students choose Umeå University because of the creative academic environment, high quality of education and first-class infrastructure we offer. Collective efforts to ensure a sustainable working life create a positive environment and makes the university an attractive employer where good leadership on all levels encourages employees to grow. The university is characterised by an inclusive culture where equality, diversity and equal opportunities are self-evident."</p> <p>In working towards this vision, the Swedish legislation provides a strong foundation regarding social security. Employees have generous conditions for vacation and paternity/maternity leave, for example facilitating the combination of having a family and maintaining a research career. Legislation concerning the working environment (physical as well as social) is extensive. Employees also have a right to their own inventions. Umeå University provides up-to-date facilities and infrastructure for research.</p> <p>We consider the following seven principles to be fully implemented; <i>22. Recognition of the profession, 25. Stability and permanence of employment, 26. Funding and salaries, 29. Value of mobility, 31. Intellectual Property Rights, 34. Complaints/appeals, and 35. Participation in decision-making bodies.</i></p> <p>For the following principles, gaps have been identified. Principles <i>23. Research environment, and 24. Working conditions</i> are largely fulfilled, with Umeå University providing a generally good research environment and competitive working conditions. However, improvements can be made regarding introduction and information, and reports of high workload will be further analysed. Principle <i>27. Gender balance</i> contains a gap regarding the share of female professors. Regarding principle <i>32. Co-authorship</i>, Umeå University has a positive view on research collaborations and hence on co-authorship. A</p>

	<p>smaller gap relates to variations in awareness, documentation and planning for co-authorship.</p> <p>Furthermore, principles <i>28. Career development</i> and <i>30. Access to career advice</i> are not yet fully implemented. Despite Umeå University having a well-developed career development programme, access to career support via internal research funding, et cetera, there are shortcomings in career development support and career advice for R1 but also R2 and R3 researchers, including a need for further support with regards to alternative career paths. Initiatives are ongoing regarding career development activities for doctoral students and information on existing opportunities is being compiled and showcased on the web. <i>33. Teaching</i>. Following up whether the time allocated to supervising doctoral students is consistently included as a part of the workload could be a prioritised activity at a later stage. Doctoral students may experience difficulty in combining teaching and research.</p>
<p>Training and development</p>	<p>Umeå University has a competence development policy providing R2–R4 researchers with at least 20 percent research or competence development time. There are also many opportunities for attending courses, workshops and conferences, often utilising supplementing external funding. The principles <i>38. Continuing Professional Development</i> and <i>39. Access to research training and continuous development</i> are considered fully implemented.</p> <p>Umeå University has clear policies on the access to supervision and has fully implemented principle <i>40. Supervision</i>. Relating to principles <i>36. Relation with supervisor</i> and <i>37. Supervision and managerial duties</i>, evaluations point to doctoral students experiencing improved relationships with their supervisors and most are satisfied with their studies and with their supervision. However, a recurring survey directed to graduating doctoral students indicate a need for further support. One initiative aiming to improve the situation is a development programme for doctoral students and supervisors.</p>

3. ACTIONS

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL: <https://www.umu.se/en/work-with-us/human-resources-strategy-for-researchers/>

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap analysis:

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator(s) / Target(s)
<i>Free text -100 words max</i>				
A. Research support Strengthening of the research support through the development of Grants Office to a research support office. The office will constitute a 'one-stop-shop' for pre-award and post-award support throughout the research process (regarding the stages of environment, idea, planning, application, execution, analysis, publication, archiving), and will develop and provide competence on a variety of research ethical issues.	2, 4, 5, 7, 23	A.1 Q1 2020 – staffing of functions. A.2 Q1-Q4 2020 – Initial implementation of functions. A.3 Q3 2020 – further specified plan for support development.	External Relations Office (Advisory group: the Strategic Council for Research and Doctoral Education. Collaborations with a variety of university units for delivering support).	A.1 Initial functions staffed. A.2. Central functions have been implemented. A.3 Plan for further development of research support is available.
B. Data management B.1 Ensuring availability of long-term data storage and data sharing at Umeå University according to the recommendations of the Swedish Research Council for Open Science and the FAIR data principles. Development of competence, courses, and tools to support researchers on research data management and on making their research data FAIR.	(5) 7	B.1.1 Q2 2020 B.1.2 Q4 2020 B.1.3 Q1 2021 B.1.4 Q2 2022	B.1 University Library	B.1.1 Competence development for present data access unit staff has been conducted. B.1.2 A series of courses to researchers have been provided. B.1.3 Information to and dialogue with researchers (departments) concerning researchers' needs have been completed.

				B.1.4 Umeå University research data group services have been fully developed.
B.2 Developing central integrated technical solutions for data handling in all phases of a research project from data collection, storage, processing, archiving and data sharing. It is of particular importance to support small-scale data sets/projects.		B.2.1 Q4 2020 B.2.2 Q2 2022	B.2 ICT Services and System Development	B.2.1 Project/direction has been decided. B.2.2 Integrated technical solutions for data archiving and storage has been implemented.
C. Introduction activities and access to information	4, 5, 7, 13, 15, 23			
C.1 Ensuring a substantial content covering the researcher role and research activities in introduction activities.		C.1.1 Q4 2020 C.1.2 Q2 2021. C.1.3 Q1 2021	C.1.1 Human Resources Office C.1.2 Each department/ Each faculty C.1.3 Human Resources Office	C.1.1 Revision of introduction information, checklists, and activities at central level. C.1.2 Revision of introduction information, checklists, and activities at departmental level and (when applicable) at faculty level. C.1.3 Explore and report on alternative media for introduction activities (for instance on-line tools, possibly a national introductory programme for governmental employees).
C.2. Increasing participation of Swedish-speaking researchers in introduction activities (by marketing a revised programme).		C2. Q3 2020 and thereafter continuously	C2. Human Resources Office	C.2 Indicator: Researcher participation in introduction activities (number, share of new employees), annually, first follow-up 2020.
C.3 Ensuring availability of documents and currency of information relevant to researchers (in English and in Swedish). Part of information availability is to make it clear when there is information available in Swedish but not in English.		C.3.1 Q4 2020 C.3.2 Q2 2021 C.3.3 Q4 2021	C.3.1 Human Resources Office C.3.2 and C.3.3 Communications Office	C.3.1 Review of access to relevant information and key documents in English and Swedish conducted and reported. C.3.2 Decision on actions to be taken. C.3.3 Actions have been completed.

C.4. Ensuring availability of information on career development prospects for different positions ⁷ on the external web.		C.4 Q1 2020	C.4.Human Resources Office/ Communications Office	C.4 Information on career development prospects available on the web (in Swedish and in English).
C.5. Ensuring a link to career development information in job advertisements.		C.5 Q3 2020	C.5 Human Resources Office	C.5 Links to information have been included in advertisements.
D. Career development	28, 30 (24)			
D.1. Ensuring availability of career development activities and career advice for R1-R3 researchers, including advice for non-academic careers and alternative research careers.		D.1.1 Q4 2021 (Q1-Q2 2021) D.1.2 Q2 2022	D.1.1 Each faculty office (inventory) D.1.2 Human Resources Office	D.1.1 Inventory at faculty level of existing activities. D.1.2 Analysis of inventory, suggested actions to strengthen support and allow for coordination and information.
D.2 Ensuring information and promotion of available career development activities for R1-R4 researchers, suitable to a variety of research careers.		D.2 Q4, 2020, continuously	D.2 Human Resources Office	D.2 Indicator: Web page containing relevant and up-to-date information.
D.3 Strengthening strategic career development focus for researchers in the annual development review. Also for researchers not on career positions/typical research career paths.		D.3.1 Q2 2021 D.3.2 Q3 2021 – Q2 2022	D.3.1 Human Resources Office D.3.2 Department/unit level managers	D.3.1 Review of information and guidelines on annual development review (including feedback from department level managers). D.3.2 Implementation.
D.4. Reviewing competence development policy. One focus area in this review should be basic conditions for competence development, analysed in relation to research time. The use of competence development time should also be analysed (in relation to D.3).		D.4 Q4 2020, alt. Q1-Q2, 2021	D.4 Human Resources Office	D.4 Review conducted, actions identified, plan suggested.

⁷ Doctoral student; Postdoctoral fellow; Research fellow; Assistant professor; Associate professor; Visiting associate professor; Professor; Adjunct professor; Visiting professor; Adjunct lecturer; Lecturer

<p>E: Training programmes for recruitment activities</p> <p>E.1. Implementing training programmes for each faculty appointment panel. Initial training should be held closely following the formation of a new panel.</p>	14	<p>E.1.1 Q1 2021 – Q2 2021 E.1.2 Q3 2021 E.1.3 Q4 2021</p>	E.1 The Faculty Offices	<p>E.1.1 Training programme decided and designed. E.1.2 Training programme conducted. E.1.3 Follow-up and further development.</p>
<p>E.2. Improving recruitment competence at departmental level. Primarily focusing on recruitment of postdoctoral researchers and doctoral students. Target group: HR staff at departments as well as researchers.</p>		<p>E.2.1 Q4 2020 E.2.2 2021 (and thereafter annually)</p>	E.2 Human Resources Office (Departments/units responsible for participation)	<p>E.2.1 Inclusion of recruitment topic in an HR-day. E.2.2 Annual programs announced. Indicator: Participation numbers (individuals, departments) in HR-seminars on recruitment.</p>
<p>F. Gender-balance at professorial level</p> <p>Development, implementation and following-up of activities (for 2020-2021) to improve the gender balance at professorial level.</p> <p>(This action is connected to the university's gender mainstreaming work.)</p>	27	<p>F.1 Q2 2020 F.2 2020-2021 F.3 Q1 2022</p>	Human Resources Office (Implementation; faculties, departments)	<p>F.1 New activities decided. F.2 Implementation of activities. F.3 Follow-up of new activities conducted. Indicator: trend in the share of female professors at university and faculty levels.</p>
<p>G. Workload</p> <p>Identifying causes for self-reported high workload and difficulty with recovery among associate professors and professors.</p> <p>Umeå University regularly conducts employee satisfaction surveys, and in the 2018 survey, issues with high workload and recovery were identified.</p>	24 (28)	Q4 2020	Human Resources Office	<p>G.1 A tool for systematic work environment management has been developed. G.2 Report on identified causes and suggested measures for high workload and difficulties to recover. G.3 Identification of components in a university-wide management system for systematic work environment management.</p>

				(Indicator: Measurement of how employees perceive their workload will be made in the next employee satisfaction survey, but effects will appear over a longer period).
<p>H. Practices supporting co-authorship</p> <p>Strengthening of practices supporting co-authorship in a national and international context. Researchers should be aware of what co-authorship implies, including an understanding of what merits co-authorship, how to document contributions and how to plan for co-authorship.</p>	32, 7	<p>H.1 Q1-Q3 2021</p> <p>H.2 Q4 2021</p> <p>H.3 Q2 2022</p>	<p>H.1 Research committees at departmental/unit level</p> <p>H.2 Discussion at Strategic Council for Research and Doctoral Education (including faculty representatives).</p> <p>H.3 Responsibilities follows from H.2.</p>	<p>H.1 Discussion of practices regarding co-authorship and inventory of potential guidelines on department/unit level. Report to faculty level.</p> <p>H.2 Comparison across faculties, discussion on the need for potential measures including changes in or development guidelines and at what level.</p> <p>H.3 Recommendations published. Implementation.</p>
<p>I. Doctoral students and supervisors</p> <p>Development programme for doctoral students and supervisors. Continued implementation and evaluation of the “Development programme for doctoral students”, including supervisors.</p> <p>The aim of the programme is to “contribute to increased knowledge and self-awareness for doctoral students and supervisors in order to strengthen the ability to meet the requirements and tough situations that arise in their roles”.</p>	33, 36, 37 (24)	<p>I.1 Q2 2020</p> <p>I.2 Q4 2020</p> <p>I.3 Q3, 2021</p> <p>I.4 Q4 2021</p>	Human Resources Office	<p>I.1 Round 2 completed.</p> <p>I.2 Round 2 evaluated.</p> <p>I.3. Round 3 completed.</p> <p>I.4 Round 3 evaluated.</p> <p>Long-term indicator: Doctoral students’ rating of stress, experience of supervision, et cetera in the biennial survey to doctoral students.</p>

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

(free text, 1000 words maximum)

Umeå University has a policy for recruitment, which embraces the principles of Open, Transparent and Merit-Based Recruitment. The Umeå University Appointments procedure is a policy document which outlines general principles regarding appointment to the different teaching positions available at Umeå University (formally, positions such as professor and associate professor are labelled teaching positions in the Swedish system). Additional documents and policies provides further guidance for applicants and for recruitment processes.

Based on our review of the OTM-R checklist we have identified areas where the OTM-R practices of Umeå University can be further improved. These areas are:

Item 3. Programmes will be developed to ensure that appointment panels at all faculties receive a certain level of training directly following their appointment. Training measures for faculty and staff at the department level involved in recruitment needs to be available at regular intervals. Relevant activities have already been undertaken but requirements on training need to be included in relevant policies, and followed up. This overlaps with the action plan, actions E.1 and E.2.

Items 6-9. The OTM-R policies at Umeå University largely appear to encourage external candidates to apply, attract researchers from abroad, attract underrepresented groups and are in line with other policies providing attractive working conditions. We need however to be more consistent in reporting all relevant data to make better assessments of the trends. Thus, for the year 2020 (i.e. the annual report presented in 2021), data will be reported for the positions of post doctor, research fellow, assistant professor, associate professor and professor. Further, applicants will be distinguished as international, national and internal, based on their postal addresses at the time of application (international/national) and based on their employment at the time of application. These measurements were added to the instructions during autumn 2019. Information on doctoral students is collected and reported separately. Responsible unit: the Human Resources Office.

Item 10. Do we have means to monitor whether the most suitable researchers apply? and *Item 23.* Do we have a system in place to assess whether OTM-R delivers on its objectives? Relevant practices are partly in place, but a coherent approach to this item must be developed. The OTM-R component to measures and activities needs to be clearly recognised and they need to provide relevant information to ensure high quality in the recruitment activities. Ensuring experience follow-ups in appointment panels. (Report on discussions: responsible units Human Resources Office and Faculty Deans).

Item 12. This item asks whether we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit. This overlaps with the action plan, actions C.4 and C.5.

Item 13. The use of EURAXESS differs between faculties and can be improved. The number of advertisements will be followed up every 6 month by International Staff Support and be reported at the HR-Network, to the Human Resources Director, and to the HRS4R coordinator. Training in the use of EURAXESS is ongoing (starting autumn 2019). (Responsible unit: the Human Resources Office).

In addition, the Open, Transparent and Merit-Based Recruitment Toolkit will be used in information and training activities for HR staff.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website: <https://www.umu.se/globalassets/fristaende-webbar/regelverk/engelska/human-resources-equal-opportunities-and-work-environment/appointments-procedure-for-teachers-at-umea-university-dnr-1.1-1672-18.pdf>

4. IMPLEMENTATION

General overview of the expected implementation process:

(free text, 1000 words maximum)

The work with the application has been conducted in the form of a project, and following the submission of our application, a slightly revised organisation will be set up for the implementation. The overall aim is to continue to integrate HRS4R activities in the existing meeting fora and decision-making structures of the university to ensure sustainability. Following formal approval by the HRS4R review team, the Vice-Chancellor will make a decision whereby the action plan will take on status as a rule in the Umeå University governance system for its designated duration. The actions set out in the action plan will be conducted by different units / groups, and will also be part of the different fora and processes included in the [Umeå University governance system](#).

A central coordinator for the HRS4R process will be appointed in spring 2020. The coordinator, based in the Human Resources Office, will be responsible for administration, planning and follow-up activities. The work will be overseen by a steering committee, with the same composition of roles as has been the case during the application/project phase (Pro-Vice Chancellor, Deputy Vice-Chancellor, Director of Human Resources and Deputy Director of Human Resources). The composition of the steering committee will ensure a strong link between HRS4R activities and strategic decision-making and policy development in the areas of research and human resources. The coordinator will also chair an implementation committee, largely taking on the role of a reference group, with representatives from the four faculties and university administration offices involved in research support activities.

The implementation committee may include researchers (R2–R4 levels), but R1–R4 researchers will primarily be involved through the decision-making fora and advisory committees where different HRS4R activities will be discussed as part of the governance structure of Umeå University. Researchers (including R1) are represented in faculty boards (for decisions on faculty level) and in advisory committees preparing decisions or initiating strategies at department, faculty and university level. Such groups of particular relevance for the HRS4R process include department research committees, faculty research committees, [the University Management Council](#), and [the Strategic Council for Research and Doctoral Education](#). Information and discussion fora for department/office managers exist at both faculty and university-wide levels. Most of the mentioned groups/fora have already been involved in the HRS4R process (as presented in the process description).

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

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	<p>free text 500 words maximum</p> <p>The coordinator will make proactive follow-ups to ensure that action plan items are introduced on the relevant agendas and track outcomes.</p> <p>The implementation committee and the steering committee will receive quarterly reports on the implementation plan from the coordinator. Meetings will be held to discuss the progress (at least twice per year).</p>
How do you intend to involve the research community, your main stakeholders, in the implementation process?	<p>free text 500 words maximum</p> <p>The research community will be involved in several ways. Both the steering committee and the implementation committee may include active researchers.</p>

	<p>Researchers (including R1 researchers) are further represented in a number of advisory and decision-making bodies where information on the planned actions will be presented, further discussed as well as followed-up. This is in particular the case for more comprehensive actions and/or actions that are organised as projects, and which typically are presented in for example the Strategic Council for Research and Doctoral Education. Some action areas (H and D) are designed to stimulate discussion at department or faculty level and will hence directly involve the research community. Actions that require implementation at faculty level will involve appropriate advisory bodies and researchers.</p>
<p>How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.</p>	<p>free text 500 words maximum</p> <p>Umeå University policies are already very much in line with the HRS4R, but when policies are revised, the revision will also include an HRS4R perspective. It is the responsibility of the HRS4R coordinator, the steering committee and when applicable members of the implementation committee, to alert about policy changes in their respective areas that may relate to HRS4R. When relevant, changes will be made to explicitly comment on the Charter and Code. For instance, the Charter and Code will be mentioned in the Umeå University Appointments procedure when it is next updated.</p> <p>Successively, the Open, Transparent and Merit-Based Recruitment Toolkit will be used in information and training activities for HR staff as well as in leadership programmes.</p>
<p>How will you ensure that the proposed actions are implemented?</p>	<p>free text 500 words maximum</p> <p>Umeå University's HRS4R action plan will be approved by the Vice-Chancellor and it includes responsibilities and follow-up activities. It will also take on the status as a rule in the university governance system. Activities included in the action plan (and in future action plans) will be part of the planning and reporting cycle at the university level or at faculty or department level, depending on the specific action.</p> <p>More large-scale activities are conducted in the form of projects, with a formal project plan including specified roles, goals and milestones.</p>
<p>How will you monitor progress (timeline)?</p>	<p>free text 500 words maximum</p> <p>Follow-up of progress is strongly linked to the targets and indicators in the action plan. Quarterly follow-up reports from the project coordinator are designed to match the dates for completion in the action plan (as listed in the "timing" column).</p> <p>In addition to the quarterly follow-ups, progress will be monitored as part of follow-ups of projects and operational plans (often focusing on whether milestones have been achieved). Follow up ultimately takes place at</p>

	<p>the university level, but some activities will also be followed up at faculty level and at departmental level.</p> <p>Progress is also monitored through the two recurring surveys; 1) to graduating doctoral students (reports coming in 2020, 2022, et cetera), and 2) to all employees through the employee satisfaction survey (the next survey is scheduled for 2021). There are established processes for the follow-up of the results of these surveys. The survey to graduating doctoral students (as well as the employee satisfaction survey) is, for example, a part of the quality system for education.</p> <p>Annual reports are presented for the university overall, but also for each faculty and department, and for educational programmes (including the doctoral programmes). Such annual reports contain both accounts of activities conducted and reporting of different types of indicators. The university annual report includes, for instance, statistics on recruitment/competence provision (which will be expanded, see the comments on the OTM-R checklist under 3. Actions), admissions and examination of doctoral students and their median study time and gender equality/gender distribution.</p>
<p>How will you measure progress (indicators) in view of the next assessment?</p>	<p>free text 500 words maximum</p> <p>The indicators listed in the action plan and in the OTM-R checklist will be used to measure and evaluate progress.</p> <p>We will measure progress through, for example, the number of participants in introduction activities, or the number of applicants (such as in the OTM-R checklist items which will be included in the annual report) or in researchers' experience of their work environment.</p> <p>The Human Resource Office will carry statistics on the number of participants in introduction activities relevant for action C.2. For statistics on recruitment, the on-line recruitment tool Varbi is an important data source. Experiences of work environment as well as knowledge about strategic goals, values, supervision, et cetera, are monitored through the triennial employee satisfaction survey to all employees and through the biennial report based on a survey to graduating doctoral students.</p> <p>Largely, trends will be used to indicate progress, although for action F, gender equality at professorial level, a specific target is likely to be set during spring 2020.</p> <p>For activity-based targets, such as G.1–G.3, progress will be described as whether the targets have been completed.</p>

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)

This section provides a brief overview of the structure of Umeå University, in order to provide a better understanding of the context of implementation. The section consists of excerpts of information available at the Umeå University website: <https://www.umu.se/en/about-umea-university/organisation/>

Umeå University's departments and units are organised under four faculties; arts, medicine, social sciences and science and technology. In addition, research and education is carried out at seven schools and institutes, and sixteen research centres.

The highest decision-making body at the University is the University Board. Although, the Vice-Chancellor runs the day-to-day work of the University Management. The University Administration, the University Library and the faculties offer important support for the research and education conducted at the departments, centres, institutes and schools.

The basic unit of the University is the department. Departments carry out education as well as research within one or several related issues. The department is the primary work place, not just for students, teachers and researchers, but also for other professionals such as administrators, janitors, technicians and instrument makers. The department is normally led by a departmental board where at least two students are members. The head of every department has the title head of department (in Swedish: prefekt).

A faculty gathers the closely related subjects through education and research. Umeå University has four faculties: arts, medicine, social sciences, and science and technology. Each faculty is headed by a dean, who is also the chairperson for the respective faculty board. The faculty boards are responsible for scientific research, post-graduate education, as well as undergraduate education within the faculty. The board members are elected to their posts, with exception for the student members.

The schools and institutes at Umeå University offer depth and distinction which coordinate education and research within a field.

In a research centre, several researchers from varied scientific domains work to solve common problems. A research centre conducts a large part of the University's interdisciplinary research and are set up with the purpose of stimulating collaborations in the border between various traditional disciplines.

The highest branch at Umeå University is the University Board. It is the responsibility of the Board to decide on, among other things, the distribution of resources within the University.

The University Management is the second-highest decision-making body at Umeå University – after the University Board – and is led by the Vice-Chancellor.

The University Administration is responsible for the supporting processes of strategic planning, administration and infrastructure. There are 12 administrative offices within the University Administration.

There are four strategic councils at Umeå University that act advisory to the University within their fields – education, research, administration and equal opportunities. There are also decision-making and advisory bodies at Umeå University. These committees, boards and councils decide on institution-wide matters and advise the Vice-Chancellor or other boards and councils.

The students' unions have the important task of working to improve educations and study environment for students at Umeå University. The unions also have an influence on the boards, councils and committees by providing student representatives.