

## TEMPLATE 3: INTERNAL REVIEW

<p><b>Name Organisation under review:</b> The University of Copenhagen (UCPH)</p> <p><b>Organisation's contact details:</b> The University of Copenhagen, Shared HR, Employment Law and Occupational Health and Safety, Nørregade 10, 1165 København K, Denmark</p> <p>Contact person: HR consultant Ulla Lund-Martorell</p> <p>Email: <a href="mailto:Ulla.lund@adm.ku.dk">Ulla.lund@adm.ku.dk</a></p> <p>Email: <a href="mailto:HR-Personalejura@adm.ku.dk">HR-Personalejura@adm.ku.dk</a></p> <p><b>Web-link to published version of organisation's HR Strategy and Action Plan:</b> <a href="http://employment.ku.dk/working-at-ucph/eu-charter-for-researchers/">http://employment.ku.dk/working-at-ucph/eu-charter-for-researchers/</a></p> <p><b>Web-link to organisational recruitment policy (OTM-R principles):</b> <a href="http://employment.ku.dk">http://employment.ku.dk</a></p>
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**SUBMISSION DATE TO THE EUROPEAN COMMISSION:** 22. JUNE 2017

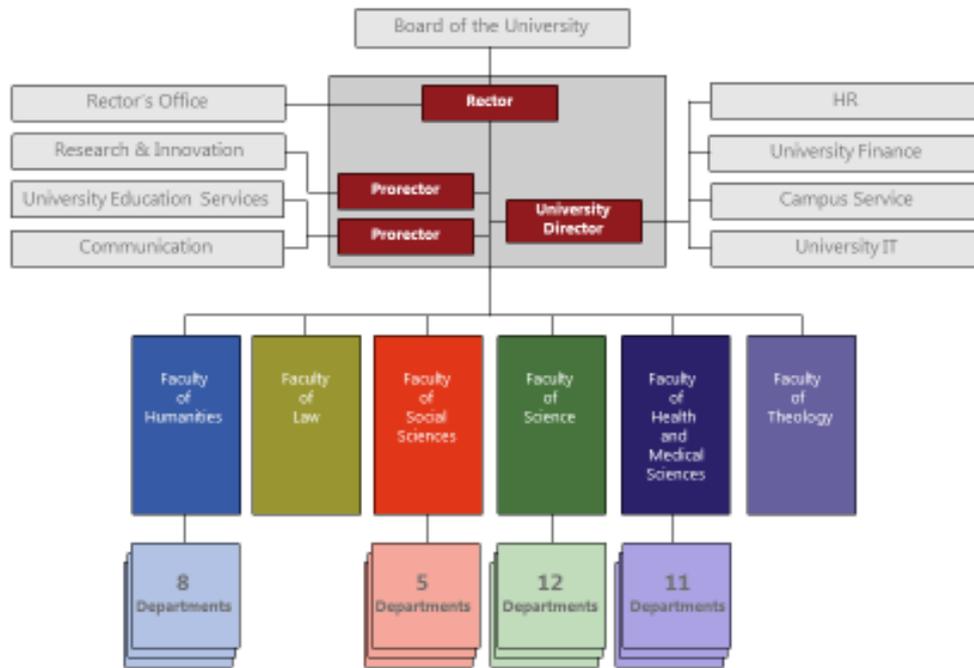
### 1. ORGANISATIONAL INFORMATION

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	5.098
<i>Of whom are international (i.e. foreign nationality)</i>	1.753
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	1.943
<i>Of whom are women</i>	2.256
<i>Of whom are stage R3 or R4<sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	676
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	975
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	1.354
<i>Total number of students (if relevant)</i>	
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	8.743
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>Euro '000</b>
<i>Total annual organisational budget</i>	1.138,6
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i>	716,0
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	199,2
<i>Annual funding from private, non-government sources, designated for research</i>	123,1

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

## ORGANISATIONAL PROFILE

The University of Copenhagen is a self-governing unit under the state of Denmark. It comprises six faculties and more than 100 departments and research centres. UCPH has more than 40.000 students and approximately 9.000 employees and is one of the largest institutions of research and education in the Nordic countries.



## 2. NARRATIVE (MAX. 2 PAGES)

In July 2015 The University of Copenhagen gained the HR Excellence in Research Award in recognition of the University's commitment to adopt the principles of The European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers. This report focusses on our progress since 2015 due to the approved UCPH HR-strategy for Researchers. Please find the initial GAP-analysis and Action-Plan on the links below:

[http://employment.ku.dk/working-at-ucph/eu-charter-for-researchers/UCPH\\_HRS4R\\_template.pdf](http://employment.ku.dk/working-at-ucph/eu-charter-for-researchers/UCPH_HRS4R_template.pdf)

[http://employment.ku.dk/working-at-ucph/eu-charter-for-researchers/ACTION\\_PLAN.2015.07.17.pdf](http://employment.ku.dk/working-at-ucph/eu-charter-for-researchers/ACTION_PLAN.2015.07.17.pdf)

### Thematic area "Ethical and Professional Aspects".

#### *Academic freedom*

The principles of academic freedom are governed by the University Act and by the Ministerial Order on the Appointment of Academic Staff at Universities, which provides the overall framework of which universities and scientific employees have to relate to. The issue of academic freedom is regularly raised by the professional organizations pointing out, that the academic freedom has been increasing.

A few years ago the debate has furthermore been raised in the General Collaboration Committee by some of the representatives from the research staff requesting for an organizational process and a determination of some guidelines on the framework of the academic freedom at UCPH.

As a result of this the UCPH has in 2015 published a separate principle paper "Paper on academic freedom" to support the academic research freedom at the university. The paper is attached.

The paper describes the allocation of academic freedom in the researcher's everyday life at UCPH. Another important point of the paper is ensuring freedom of speech and academic freedom for the individual researcher as well as of the university as an institution. UCPH defines as follows with the paper the individual researcher's freedom of research by virtue of his appointment at UCPH.

### **Thematic area "Recruitment"**

#### *Tenure track*

Since the Action Plan was adopted in 2015, UCPH has continued its work to develop and implement a tenure-track model.

The implementation has been challenged by cut backs at the University of Copenhagen in 2016, which resulted in a caution in relation to the use of appointments with long-term perspectives.

It has recently been discussed in the public debate whether tenure is linked to a special protection against dismissal. There are various examples of this in other countries, e.g. USA. At some universities abroad, a tenured position offers an almost permanent job guarantee. This is why it has been discussed what tenure track at UCPH means since the introduction of the concept. On the basis of a discussion in the Board, the Executive Management has decided and published on this description of tenure at UCPH. The description is shown in the Action Plan status below.

In 2017, UCPH has been particularly dedicated to the extension of tenure at professor level. UCPH is currently in the process of setting up a working group, which will continue working with the content of the scheme. UCPH is in the process of completing a description of the final appraisal of the current tenure-track assistant professors. The final appraisal model is expected to be approved before the end of 2017.

In March 2017, the number of tenure-track assistant professors at UCPH totalled 25, with 10 recruitments in process.

#### *E-recruitment*

A new IT system, HR Manager, has been taken into use in spring 2017. The system supports the OTM-R principles and ease the burden on the researchers in connection with applications. HR manager provides a highly improved support from HR, and has a modern and flexible design externally, which makes it easy to use for applicants. The system can be accessed from a PC, tablet and mobile. The system gives a total overview of the entire recruitment process. The system makes it easy to check whether the appointment committees and assessment committees have been set down in accordance with the rules. HR Manager ensures quick responses during the recruitment process. Also all candidates receive a letter with an explanation of a rejection giving the criteria that have been emphasised in the selection.

### **Thematic area "Working conditions and Social Security"**

#### *Gender*

Since 2008 UCPH has been deliberately targeting the recruitment and retention of talented staff by encouraging more women to apply for research and management positions. The first action plan (2008–2013)

included financial incentives for faculties to hire women professors. The number of women professors and associate professors rose as a result, but there is still a long way to go, especially at professorship level. The current action plan was issued in 2015 and includes the following:

- Gender balance in senior management positions
- Open recruitment processes, including the use of search committees for all management, permanent associate professor and professor positions
- A requirement that there be at least one candidate of each gender before a faculty position<sup>2</sup> is filled
- Gender equality on assessment and appointment committees
- Re-entry initiatives for men and women returning from maternity/paternity leave
- Career paths relating to pre-leadership courses and mentoring programmes
- Continuing education and enhanced knowledge about the gender perspective in research, cf. the HORIZON 2020 requirements

The report for 2016 show that the faculties are working to fulfil and implement the action plan for equal opportunities in research and management. The action plan aims to create lasting change, which needs to be even more closely integrated into day-to-day practice in research environments. It is very much about cultural changes, and these take time until fully integrated in the organisation.

Data for the development in population and new appointments for 2016 show a marginal development in the proportion of women. In 2016, 22.8% of professors were women, against 22.2% in 2015. Women also constituted a slightly higher proportion of new professors in 2016 than they did in 2015.

The other academic staff groups also largely maintained status quo, however with a slight increase of the proportion of associate professors where women made up 38.9% in 2016.

In other words, there has been no development, but status quo is maintained.

2016 was also an unusual year with a modified hiring freeze and rounds of layoffs. It must be noted that the initiatives that have been identified in the action plan work slower than with the financial incentives, that was a part of the previous action plan.

The action plan include activities regarding career development and

The report for 2016 has been discussed in a reference group in relation to the action plan, and on the Executive Board and the Senior Management Team. The report has also been presented to the General Collaboration Committee for information.

### **Thematic area “Training and Career Development”**

#### *Career advice*

In the latest years UCPH have being focusing on on better access to career advice has resulted amongst other things in the development of a new Performance and Development Review (PDR) material for Ph.D.'s and Postdocs focusing especially on the career path of the early stage researcher in a dialogue with PI or Head of Department.

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<sup>2</sup> Defined as professors (including clinical professors and professors with special responsibilities), associate professors and assistant professors

## Career paths

Another great focus point at UCPH is the transparency on possible career paths. The efforts to this area have amongst other things resulted in the development of a site displaying information on competency development, the job structure path for academic staff, data on career paths for young researchers and the development of a folder 'Take charge of your postdoc career' (see attachment).

### New strategic targets

On april 28 the UCPH requested the Commission for deferment with respect to the determination of new strategic targets for the coming three years (2018-2020).

The reasons are several. UCPH has appointed a new rector on 1 March 2017. It will be necessary to involve the new rector in future strategic initiatives in the HR area, and the university's work with the next strategy plan for 2018-2020 has not yet been completed. In addition, the HR area throughout the university is facing a major reorganization during the summer of 2017.

UCPH expects to be able to send the new strategic targets to the Commission by 1 March 2018.

## 3. ACTIONS

Please see below the list of actions from the UCPH Action Plan from July 2015.

### Objective no. 1: Career advice, transparency, and tenure track at UCPH

Goals	Goals (with reference to HR strategy og UCPH) and Milestones	Responsibility and involvement	Activity/status
<p><b>21. Postdoctoral appointments (Code).</b> Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the</p>	<p>1. Better access to <b>career advice</b> for all researchers, especially in the beginning of their career, regardless their future employment or career.</p> <p>2. <b>Transparency</b> on possible career path, including an up-date and improvement of the Job Portal/Employer Branding and information to possible researchers.</p> <p>3. Implementation of special career tracks "<b>tenure track</b>" at UCPH.</p> <p><b>Career advice for researchers at UCPH</b></p> <p><b>Milestones 2015</b></p> <p>a) August: Analysis and focus-group interviews, workshops and analysis of statistic data from "Statistics Denmark". Special focus on "postdocs."</p> <p>b) Ultimo August: Participating in "Reflex" project (EURAXESS).</p> <p>c) Second semester: Collection</p>	<p>Project Manager: HR Consultant Iben Rørbye, Project Management and HR-directors Office</p> <p>Working Group members: Prodean for External Relations Julie Sommerlund</p> <p>Head of HR, the faculty of Science Marianne Nielsen Post. Doc. Johan Andersen-Ranberg, Department of Plant and Environmental Sciences, Science</p> <p>Associate Professor, Lone Brøndsted Department of Veterinary Disease Biology</p> <p>Thomas Harboe,</p>	<p><b>Career advice for researchers at UCPH:</b></p> <p><b>Milestones 2015:</b> All objectives met.</p> <p>a) Focus group interviews: Postdocs discussed the needs for career advice and clarification, how local management can help, what role the PDR can play and the need for development of skills outside the postdocs' field of study. Main points:</p> <ul style="list-style-type: none"> <li>• Uncertainty of the possibilities at UCPH and other universities including what it takes and what is expected of you</li> <li>• Uncertainty of what it takes to be attractive to private and public companies</li> <li>• Different needs for Postdocs wishing to stay in academia/leave academia</li> <li>• Important to talk career during PDR and to make yourself visible.</li> </ul> <p>Workshops with researchers, HR staff and companies focused on blockers and boosters for career development for academic staff. Main points:</p> <ul style="list-style-type: none"> <li>• Many local activities, need for coordination and knowledge of possibilities.</li> </ul> <p>b) A General Training Model Scheme including an Implementation Guide has been developed by UCPH (HR &amp; Organisation) in collaboration with the other participating countries in the Euraxess Reflex project. The material has been presented at several events,</p>

<p>primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.</p> <p><b>28. Career development.</b> Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.</p> <p><b>29. Value of mobility.</b> Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing</p>	<p>of information on career path when leaving and when staying at the University of Copenhagen after the position as postdocs. This is tightly coordinated with another project focusing at PhD.</p> <p>d) Second semester: New concept for performance and development reviews PDRs, developed in collaboration with the General Collaboration Committee with a special focus on career.</p> <p><b>Milestones 2016</b></p> <p>e) First semester: Establishment of a permanent "exit" survey amongst postdocs leaving the UCPH.</p> <p>f) First semester: Development of mentor schemes for postdocs with a focus on career paths outside the UCPH.</p> <p>g) Second semester: Establishment of "match-making" meetings with the business community.</p> <p>h) Second semester: Repetition of data analysis and monitoring of the development.</p> <p>i) Second semester: Possible implementation of new initiatives to further support of career advice and development at UCPH.</p> <p><b>Milestones 2017</b></p> <p>j) First semester: Coordination of the initiatives in relation to "Career advice/career path at UCPH, from master to assistant professor". How does opportunities and advise fit together?</p> <p>k) First semester: Analysis of roles and responsibility in relation to career advice for younger researchers.</p> <p>l) First semester: "Relflex" project: tools for competence and career clarification</p> <p>m) Second semester: Establishment of a permanent mentor programme with external</p>	<p>Head of Teaching and Learning Unit of Social Sciences.</p> <p>Associate Professor, Theis Lange, Head of Unit, Department of Public Health</p> <p>Anne-Mette Schaffalitzky, Special Advisor, Division of Research and Innovation</p> <p>Thomas Vils Pedersen, Shop Steward for researchers, Faculty of Science</p> <p>Jørgen Staun, Shop Steward for researchers, Faculty of Humanities.</p> <p>Corporate Collaboration Committee has been and will continue to be involved during the project duration.</p> <p>In relation to the project "Special Career Track":</p> <p>UCPH Professor Ben Rosamond, Department of Political Science, FACULTY of SOCIAL SCIENCE, Professor Frans Gregersen, Department of Scandinavian Studies and Linguistics, FACULTY of HUMANITIES, Professor Niels-Henrik von Holstein-Rathlou, Department of Biomedical Sciences, FACULTY of HEALTH, Professor John Mundy, Department of Biology, FACULTY of</p>	<p>most recently at the annual conference AEU 2017 for Danish Universities, focusing on personnel development and legislation. See: <a href="https://euraxess-reflex.saia.sk/en">https://euraxess-reflex.saia.sk/en</a></p> <p>c) Several reports have been produced. Main points:</p> <ul style="list-style-type: none"> <li>• Distinct rise in the number of Ph.D.'s and Postdocs from 2010-2014, due to government funding and push.</li> <li>• Quickly in job, 84% of Ph.D.'s and about one third of the Postdocs within a month</li> <li>• State and region are the primary employer. The private sector has absorbed the growing number of early stage researchers. Massive growth from 2010-2013 regarding Postdocs finding employment in the private sector. We do reach the SME's to a larger extent than anticipated.</li> </ul> <p>d) ) New concept for performance and development reviews has been developed (see attachment).</p> <p><b>Milestones 2016:</b></p> <p>e) Exit survey amongst Postdocs to be established autumn 2017.</p> <p>f). Mentor scheme for Assistant Professors established with mentors at UCPH. Mentor scheme for Postdocs awaiting postdoc database with mentors outside academia.</p> <p>g) Match making events established at faculty and department level out of respect for the need for local knowledge to produce successful matchmakings.</p> <p>h) Repetition of data analysis autumn 2017/spring 2018.</p> <p>i) Other initiatives see 2017 milestones.</p> <p><b>Milestones 2017:</b></p> <p>j) Development of catalogue of ideas for cross job structure meetings and events from bachelor student till professor level.</p> <p>k) Faculty level responsible for own career development initiatives to secure needed local knowledge. PI/Head of Department responsible for dialogue with early stage researchers. Development of network amongst career professionals at Faculty level and across Faculty suggested and awaiting clarification. Closer coordination of Ph.D.-student and Postdoc activities suggested and awaiting clarification.</p> <p>l) Awaiting f - 2016 milestone.</p> <p>m) Implementation of the Euraxess/Reflex General Training Model Scheme as framework for comprehensive overview of activities. Awaiting clarification of needed resources.</p> <p>n) Reporting on Postdocs various career paths in the UCPH Annual Management Information has taken place.</p> <p><b>Special career tracks</b></p> <p><b>Milestones 2015:</b></p> <p>a-b) On 1 March 2014, the tenure-track programme was implemented at each faculty and overall</p>
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<p>scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.</p> <p><b>30. Access to career advice.</b> Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.</p>	<p>n) mentors from the business community.</p> <p>Second semester: Reporting of the annual management information in relation to career paths for postdocs.</p> <p><b>Special Career tracks:</b></p> <p><b>Milestones 2015:</b></p> <p>a) Second semester: The continuation of the implementation of a Tenure Track model at UCPH to attract international mobile researchers during:</p> <p>b) Two annual meetings (spring and autumn) at the Tenure Track Committee on which the Committee shall</p> <ul style="list-style-type: none"> <li>o provide advice on the strategy for advertising new positions in cross-organisational areas</li> <li>o provide advice on the strategy for tenure-track assessments as well as ongoing career development efforts for tenure-track staff (performance and development reviews, mentor scheme, etc.)</li> </ul> <p>c) Second semester: Statistics of how many candidates that are "called" for full professorships at UCPH and the impact on the balance of gender and attraction of international candidates.</p>	<p>SCIENCE, Professor Amanda Hammar, FACULTY of THEOLOGY: Professor, Mette Hartlev, FACULTY of LAW, Professor Anne Grappin-Botton, The Danish Stam Cell Center, FACULTY of HEALTH, Vice Dean Professor Jes Madsen, Aarhus FACULTY OF SCIENCE AND TECHNOLOGY.</p>	<p>guidelines were ready for use.</p> <p>To monitor and safeguard knowledge sharing in relation to the practices of the UCPH tenure-track scheme, a "Tenure-Track Committee" (TTC) advisory board was set up in January 2014 to advise the Rector, the Proectors and Senior Management on strategic tenure-track relevant issues. The TTC is also a forum for exchanging best practice across the University's faculties and proactively contributes to develop the UCPH recruitment activities.</p> <p>The TTC consists of six professors with extensive international insight, two representatives appointed by the Rector and Proectors and the Director of HR. The professors are nominated by academic councils from among the faculty's professors to the dean, and each dean then decides which professor should have a seat on the Committee. An academic council is appointed by the rector or the academic manager at the organisational level at which the academic council is established, and its members represent academic staff, including PhDs (cf. section 15 of The Danish University Act).</p> <p>Once a year, the faculties brief the TTC on the recruitment of tenure-track assistant professors:</p> <ul style="list-style-type: none"> <li>• Advertisement venues/strategy as well as statistics for the recruitment process, the number and distribution of applicants (gender, international).</li> <li>• Status on the granting of tenure (advertisements, applications, CVs and assessments in respect of completed tenure cases).</li> </ul> <p>Based on this, the TTC discusses experiences with the granting of tenure at two annual meetings. At the end of each year, the TTC submits an annual report to Senior Management containing statistics, general comments and recommendations. In 2014, UCHP drew up "Terms of Reference and Rules of Procedure, the Tenure Track Committee" in which the TTC tasks are laid down (see attached).</p> <p>The annual reports from 2014, 2015 and 2016 are also attached for further information. The above-mentioned statistics are part of the annual reports.</p> <p>The TTC held two meetings in 2015, on 22 May and 16 November, respectively.</p> <p>At the second meeting, two of the successful tenure track-candidates participated to discuss pros and cons of the arrangements surrounding the TTR programme.</p> <p>In the 2015 annual report, the committee suggested that UCPH should focus on the following issues in 2016:</p> <ul style="list-style-type: none"> <li>• An economic model/career model to support the promotion of the best associate professors.</li> <li>• Contact the ministry jointly with other Danish</li> </ul>
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	<p><b>Milestones 2016</b></p> <p>d) First semester: Development of “best practice” scheme of tenure track at UCPH. Information on each recruitment about number of applicants, nationality, gender and where and how the position was advertised/ published.</p> <p>e) Second semester: Development of a model in order to harmonize qualification levels for granting tenure across the University of Copenhagen.</p> <p>f) Second semester: Contributing to further development of guidelines and policies for tenure-track recruitment.</p> <p>g) Second semester: Conducting surveys on the “on-boarding” of the tenure track assistant professors, best-practice – analysis through focus group interviews.</p>		<p>universities regarding the possibilities to allow tenure -track assistant professors to supervise PhD students.</p> <ul style="list-style-type: none"> <li>• Support knowledge sharing regarding assessments by giving examples of good and inspiring assessments.</li> <li>• Awareness of the first introduction to UCPH of the tenure-track assistant professors, ranging from practical issues such as computer, keys and meetings to appointing the right academic mentor and a good buddy to provide the social introduction to the department and Copenhagen as such.</li> <li>• Continue to promote tenure track as an important part of the UCPH job structure and talent recruitment and retention.</li> </ul> <p>c) In 2015, 23 professors were ‘called’ for full professorships at UCPH. Six were women and seven were internationals.</p> <p><b>Milestones 2016</b></p> <p>The TTC held two meetings in 2016, on 23 May and 21 November, respectively.</p> <p>d) As mentioned above UCHP has developed a ‘best-practice’ scheme of tenure track at the University. Part of this is that the faculties once a year brief the TTC on the recruitment of tenure-track assistant professors. This orientation is about advertisement venues/strategy as well as statistics on the number and distribution of applicants (gender, international). The TTC ensures cross-organisational discussions and recommendations about best practice on the basis thereof. In 2016, the TTC found that tenure track is a very good instrument for recruiting strong researchers and for internationalisation. The TTC also noticed a better gender equality in applicants, although there is still room for improvement. However, the University and the faculties in general had concerns due to the economic situation in 2016 as well as the expected financial situation in the years to come. Only three out of six faculties were using the scheme. It was the hope that financial changes at some point would allow the system to flourish.</p> <p>e) On the basis of the received data the TTC evaluates the tenure-track assistant professors' qualifications individually as well as the qualification-levels in general. If there are cases where the level of skills is too low, the TTC can provide specific supervision.</p> <p>In addition, the recruitment of tenure-track assistant professors is also comprised by the UCPH Assessment Guidelines (attached) as well as guidelines for heads of department on tenure track at UCPH (attached).</p> <p>f) In 2016, UCHP contributed to further development of guidelines and policies for tenure-track recruitment in several ways.</p> <p>Tenure-track assistant professors abroad can be principal supervisors for PhD students. In Denmark, the law on research consulting prevents this. This topic was discussed at a TTC meeting and is included in the</p>
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	<p><b>Milestones 2017</b></p> <p>h) First semester: Statistics on how long the tenure track candidates stay at UCPH and statistics on their promotion</p> <p>i) First semester: Conducting a survey: If tenure track candidates leave – both as assistant professors and after promotion – why and where do they go?</p> <p>j) Second semester: Safeguarding knowledge sharing concerning the recruitment and development of researchers across the University of Copenhagen – coordinated with the work in relation to gender and open recruitment.</p>	<p>annual report, and it was agreed that HR would take up the issue with the Agency in 2017. HR has made a request to the Ministry of Higher Education and Science for changing the rules.</p> <p>In addition, at a meeting in 2016, TTC was presented with ideas for developing talent programs for tenure track employees. TTC was supportive of the program and has invited the creators of the program to join an additional future meeting in order to learn more as the tenure track program progress.</p> <p>Furthermore, since the tenure-track programme at UCPH had been running for almost three years, the TTC recommended that the University's tenure-track guidelines be reviewed by the committee in 2017.</p> <p>g) The International Staff Mobility (ISM) department helps international employees with residence and work permit, housing, salary, tax, pension, banking and insurance, health and medical care, childcare and school, language and culture and dual careers/spouse network etc. <a href="http://ism.ku.dk/">http://ism.ku.dk/</a>.</p> <p>In 2016, ISM issued a guide for the on-boarding of new international employees, which among other things had been prepared on the basis of experience and best practice from the appointment of international tenure-track assistant professors: "10 pieces of advice when receiving international employees". The guide is attached.</p> <p><b>Milestones 2017</b></p> <p>h-j) The preparation of the statistics which appear in the milestones will be carried out prior to the date of the second TTC meeting in 2017, just as discussions about safeguarding knowledge sharing concerning the recruitment and development of researchers across the University of Copenhagen – coordinated with the work in relation to gender and open recruitment.</p> <p><i>Tenure to professor level</i></p> <p>In 2017, UCPH has been particularly dedicated to the extension of tenure at professor level.</p> <p>UCPH is currently in the process of setting up the working group, which will continue working with the content of the scheme. The working group will consist of a representative from each faculty, four representatives from staff (researchers), an HR manager, the Prorector for Research, the Director, etc.</p> <p>Proposals for the extension of the tenure programme to full professorships have been considered by Senior Management, which on 10 May 2017 decided to start the project. The project now enters the next phase where a project group is established with a view to further defining the content of the expanded tenure programme. The project is headed by the Prorector for Research, and academic staff on the General Collaboration Committee have been invited to appoint</p>
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		<p>two representatives to the project group.</p> <p><i>Final appraisal</i></p> <p>UCHP is in the process of completing a description of the final appraisal of the current tenure-track assistant professors. The final appraisal model is expected to be approved before the end of 2017.</p> <p><i>Description of tenure at UCPH</i></p> <p>It has recently been discussed in the public debate whether tenure is linked to a special protection against dismissal. There are various examples of this in other countries, e.g. USA. At some universities abroad, a tenured position offers an almost permanent job guarantee. This is why it has been discussed what tenure track at UCPH means since the introduction of the concept.</p> <p>On the basis of a discussion in the Board, the Executive Management has decided and published on this description of tenure at UCPH:</p> <p><b>Description of tenure at UCPH</b></p> <p><i>In 2014, UCPH introduced tenure track from the assistant to associate professor levels. The post of tenure-track assistant professor is permanent where the employee is promoted to a post as associate professor after a maximum of six years. The promotion requires that the employee has been assessed to be academically qualified.</i></p> <p><i>The goal has been to create an internationally recognisable process with a focus on continuous academic development and greater job security for young researchers, adapted to the rules of the Danish labour market. No special protection applies to researchers employed in tenured positions, but UCPH considers it a career path with a high level of job security.</i></p>
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**Objective no. 2: Non-discrimination and gender equality**

<p><b>10. Non discrimination</b></p> <p>Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.</p>	<p><b>Goals (With reference to Action Plan “Career, Gender and Quality – equal opportunities in research and management”):</b></p> <p>o) Gender balance in the most senior management posts – increase of 5 % points during 2015-2017 (40 positions).</p> <p>p) All talents regardless gender should have the opportunity to become associate professors and professors at UCPH</p>	<p>Project Manager: Ingrid Skovsmose Jensen, Head of Section, Corporation and Working Environment at UCPH. Co-project Manager: Senior HR Consultant Elisabeth Rasmussen, Project Management and HR-directors Office.</p> <p><u>Faculty</u></p>	<p><b>Objective no. 2, Goals:</b></p> <p>o) 2016: Gender Balance in senior management posts have risen from 27% to 30% women by January 2016.</p> <p>p) 2016: All faculties have continued awareness regarding how to obtain equal opportunities to become associate professor or professor at UCPH. UCPH follow the development once a year in a report to the Board. The latest report is from 2016: <a href="http://mangfoldighed.ku.dk/english/hojrebokse/ku-report-on-career-gender-and-quality/Report_on_Gender_Career_Quality_2016_EN.pdf">http://mangfoldighed.ku.dk/english/hojrebokse/ku-report-on-career-gender-and-quality/Report_on_Gender_Career_Quality_2016_EN.pdf</a></p>
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<p><b>27. Gender balance</b></p> <p>Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.</p>	<p><b>Milestones 2015</b></p> <p>q) Second semester: Introduction of new rules in relation to recruitment; Requirement to use search committees for all management posts and permanent assistant, associate and full professors.</p> <p>r) March - August: Introduction of new requirement for there to be at least one applicant of either gender before posts can be filled in the faculty</p> <p>s) August: Presentation of an overview of all Faculty Action Plans to the Top Management meeting</p> <p>t) Second semester: Equal gender balance on assessment and appointment Committees</p> <p>u) Second semester: Action at the end of maternity leave and parental leave for both men and women</p> <p>v) Second semester: Career pathways for pre-managerial courses and mentor programs</p> <p>w) August: Development of individual Gender Balance Action Plans at each faculty with additional goals and tolls, related to the overall "Action Plan Career, Gender and Quality"</p> <p>x) August: Dissemination of the rules at all internal webs</p> <p>y) Second semester: Clarification of how to understand the new rules at management meetings at each faculty</p> <p>z) November: The second of two annual meetings at the board of faculty coordinators, and administrative managers to coordinate and share information and knowledge on how to implement the Action Plan</p> <p>aa) September: Mapping of existing mentoring schemes at UCPH</p> <p>bb) September: Preparation of Open Meeting on "Gender perspective in Research" in</p>	<p><u>Coordinators:</u></p> <p>HR Consultant, Karen Vestergaard Petersen, Faculty of Science</p> <p>HR Consultant, Julia Pedersen, Faculty of Law</p> <p>HR Consultant Corinn Sandhoff Pedersen, Faculty of Social Science</p> <p>Head of HR, Hanne Møller, Faculty of Humanities</p> <p>Head of Secretariat, Torben Rytter Kristensen, Faculty of Theology</p> <p>Consultant Marie-Louise Munch, Faculty of Health, Research and Innovation</p> <p>Recruitment Officer, Louise Amlani Rasmussen, Faculty of Health, Research and Innovation.</p> <p>These coordinators from each Faculty refer to the Deans, who are responsible for the Faculty Action Plan.</p> <p>The Faculty Action Plans is send to the Rector before July the 1th.</p> <p>The Faculty Action Plans are discussed at each Faculty Collaboration Committee, with representatives from the management, the researchers and the administrative staff.</p> <p>This project has a special reference group consisting of the former Task Force (new chairperson) Vice-Dean Grete Bertelsen, Faculty of Science, chairperson. Vice-Dean Sven Frøkjær, Faculty of</p>	<p><b>Milestones 2015:</b></p> <p>q) In relation to the introduction of the new rules UCPH made instructions to both management and the administration regarding the new rules. The faculties' reports show that all of the faculties are working hard to identify suitable candidates. The faculties report that search committees are being used for all, or for the majority of, faculty posts advertised.</p> <p>r) The initiative regarding one of either gender among the applicants for positions as faculty staff is introduced. Generally speaking, fewer faculty positions attracted applicants from only one gender in 2015 than in 2013.</p> <p>s) All action plans have been presented to and discussed with the rector and the Board of directors (june 2016)</p> <p>t) Equal gender balance on assessment and appointment committees is fulfilled at UCPH.</p> <p>u) All Faculties have implemented specific plans for action regarding the return after maternity and paternity leave.</p> <p>v) premanagerial courses are being held and they are in high demand. See attached brochure on Career, women and UCPH 2017. Mentor programme has been introduced and they are also in high demand.</p> <p>w) Each Faculty has introduced their own action plans which are addressing the themes relevant to their specific fields of research. The action plans are presented at internal websites and at mangfoldighed.ku.dk (in Danish)</p> <p>x) The rules have been presented at websites: mangfoldighed.ku.dk, and medarbejderguiden (internal website), lederportalen (internal website)</p> <p>y) The action plan and the rules were presented to the faculties in letters and on the intranet.</p> <p>z) The meetings were held Two annual meetings at the board of faculty coordinators, and administrative managers to coordinate and share information and knowledge on how to implement the Action Plan</p> <p>aa) Mapping of the existing mentoring schemes have been done and the information was useful when preparing for the next mentoring programme.</p> <p>bb) The open meeting on "Gender perspective in Research" in corporation with the department "Research and Innovation" was prepared but got cancelled due to cut backs.</p> <p><b>Milestones 2016:</b></p> <p>cc) The time table was changed due to the need for data from external source (the Ministry). The reports were collected in April and discussed in May 2016. The report has been discussed widely within the management and with the Collaboration Committees at UCPH and at the faculties managementteams and collaboration committees.</p> <p>dd) The discussion of the reports was held at a meeting within the senior management (ledelsesteamet) between the rector, prorectors</p>
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	<p>corporation with the department "Research and Innovation".</p> <p><b>Milestones 2016</b></p> <p>cc) February and March: Each of the 6 deans report to the rector about the goals and plans of each faculty during February and March.</p> <p>dd) February and March: Faculties are to discuss their reports at these meetings with the Rector.</p> <p>ee) February: Faculties are to publish their reports annually in February each year.</p> <p>ff) First semester: Follow-up on and implementation of the new rules of recruitment to use search committees, and for there to be at least one applicant of either gender before posts can be filled.</p> <p>gg) First semester: Continuity training and more awareness of gender perspectives in research in line with HORIZON 2020 requirements.</p> <p>hh) First semester: Follow-up on the Action Plan to concrete development steps at each Faculty (Goals, methods of measurement)</p> <p><b>Milestones 2017</b></p> <p>ii) February – March: Each of the 6 deans report to the Rector about the goals and plans of each faculty.</p> <p>jj) February – March: Faculties are to discuss their reports at these meetings with the Rector.</p> <p>kk) February: Faculties are to publish their reports annually in February each year.</p> <p>ll) April: Presentation and discussion at the top management of status and statistics on gender balance at each level (from assistant professor to full professor).</p> <p>mm) First semester: Any adjustment of the Action Plan in order to reach the</p>	<p>Health, Professor Bente Rosenbeck, Faculty of Humanities, Associate Professor Hanne Foss Hansen, Faculty of Social Sciences, Associate Professor Anja C. Andersen, Faculty of Science, Vice Director Lisbeth Møller, HR&amp;Organisation, Head of Department Robert Feidenhans'l, Faculty of Science, And appointed by the Corporate Collaboration Committee Associate Professor Lotte Lauritzen, Faculty of Science.</p>	<p>and the deans.</p> <p>ee) Each faculty publish their own report. Some do it on a special website, and all faculties submit the report to the management, the academic council and collaboration committees.</p> <p>ff) Follow-up on and implementation of the new rules of recruitment to use search committees, and for there to be at least one applicant of either gender before posts can be filled. HR collected data and submitted a report to the Board of Directors. HR administers the applications to the rector on exemptions from the rule of at least one of each gender.</p> <p>gg) Continuity training and more awareness of gender perspectives in research in line with HORIZON 2020. This has been chanced due to cut backs. The theme is part of the information campaigns held on HORIZON2020.</p> <p>hh) Follow-up on the Action Plan to concrete development steps at each Faculty (Goals, methods of measurement) was presented in a report to the Board of Directors. The report was discussed with the management and the UCPH collaboration Committee.</p> <p><b>Milestones 2017:</b></p> <p>ii) The reports were submitted to Rector in april 2017.</p> <p>jj) The faculty reports were discussed at a joint meeting between the rector and all the deans May 10<sup>th</sup> 2017.</p> <p>kk) The reports on 2016 will be published at the faculties websites and <a href="http://www.mangfoldighed.dk">www.mangfoldighed.dk</a> (Danish) in late June 2017.</p> <p>ll) The statistics are part of the report mentioned above at May 10<sup>th</sup>.</p> <p>mm) Adjustments are being considered and if need be they will eventually be decided by the Board of Directors in June 2017 after a discussion at the Collaboration Committee and at a Reference Group to the Action Plan – both with members from the research staff and management</p> <p>Action plan:  <a href="http://mangfoldighed.ku.dk/english/pdf/ACTION_PLAN_FOR_CAREERS_GENDER_AND_QUALITY.pdf">http://mangfoldighed.ku.dk/english/pdf/ACTION_PLAN_FOR_CAREERS_GENDER_AND_QUALITY .pdf</a></p>
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	<p>2017-goals.</p> <p><b>Milestones in relation to the goal: “Increasing the awareness of the non-discrimination rules at UCPH”:</b></p> <p><b>Milestones 2015</b>  nn) December: Gathering information on the general awareness of the non-discrimination rules and policies  oo) December: Compiling additional information on the internal network, and to work on awareness of the principles.</p> <p><b>Milestones 2016</b>  pp) March - June: Development and execution of internal workshops and courses in the legal obligations in relation to rules of non-discrimination principles.</p> <p><b>Milestones 2017</b>  qq) First semester, and repeated in second semester: Execution of internal courses in the understanding of non-discrimination law and policies at internal workshops and courses in the legal obligations in relation to rules of non-discrimination principles.</p>		<p><b>Milestones in relation to the goal: “Increasing the awareness of the non-discrimination rules at UCPH”:</b></p> <p>nn-qq) UCPH already decided in the end of 2015 to increase the awareness of the non-discrimination rules by including it as part of an interne course on practical employment law. The course has primarily included legal obligations as well as internal policies on non-discrimination. The course runs several times a year, and many employees, primarily HR Officers have participated since 2015.</p>
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**Objective no. 3: Project about creating a further organizational awareness of the ethical aspects of freedom of research.**

<p><b>1. Research freedom</b></p> <p>Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognized ethical principles and practices.</p>	<p><b>Goals:</b></p> <p>Clarifying of the limitations of the freedom of research</p> <p><b>Milestones 2015</b></p> <p>rr) A working group consisting of members from The Committee on Personal Policy (PPU), the Rectories and HR&amp; Organization discusses the “State of the art” in relation to <b>academic freedom</b> at UCPH. The working group may like to take the theme of the practical management of academic freedom and assess whether it gives rise</p>	<p>Senior HR Consultant Elisabeth Rasmussen, HR-directors Office and Project Management.  Head of Section, Ingrid Skovsmose Jensen, Corporation and Working Environment at UCPH.</p> <p><u>Personnel Policy Committee</u> consists of the following members  Dean Kirsten Busch</p>	<p><b>Milestones 2015:</b></p> <p>rr) Academic freedom is supported by and ensured by way of s. 2 (2) and s. 14 (6) cf. the University Act. The universities' implementation of the academic freedom within the employment conditions are also described in circular on the Protocol on certain terms of employment of academic staff at universities (Job Structure).</p> <p>Academic Freedom is considered to be in accordance with the job structure as the foundation on which the scientists are working and carrying out research, and is not particularly emphasized in relation to selected job categories. In other words, academic freedom applies equally to all researchers employed at the university.</p> <p>UCPH's paper on academic freedom was published</p>
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<p>Researchers should, however, recognize the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance /management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognized ethical principles and practices, to which researchers have to adhere.</p>	<p>to action.  ss) July: Translation into English.  tt) August: Dissemination and implementation of Policy Paper "Academic Freedom"</p>	<p>Nielsen (chairperson), Faculty of Theology, University director Jørgen Honoré, Prodean Sven Frøkjær, Faculty of Health, Dean Troels Østergaard Sørensen, Faculty of Social Sciences, Head of HR Marianne Nielsen, Faculty of Science, Vice Director Lisbeth Møller, HR&amp;O.  Joan Lykkeaa, Union of Commercial and Clerical Employees in Denmark,</p>	<p>in the summer 2015 after a discussion in the General Collaboration Committee and the Senate in 2015. Before the adoption also researchers at UCPH were involved in the discussions at meetings in spring 2015.</p> <p>The document describes the allocation of academic freedom in the researcher's everyday life. Another important point of the paper is ensuring freedom of speech and academic freedom for the individual researcher as well as of the university as an institution. UCPH defines as follows with the paper the individual researcher's freedom of research by virtue of his appointment at UCPH.</p> <p>ss) The paper was translated into English in the summer 2015 (see attached).</p> <p>tt) The paper was on 8 October 2015 sent to all heads of department and all academic staff members at the faculties. Next, the faculties have continued to work on the principle of academic freedom locally. Among other things, the Faculty of SCIENCE adopted a detailed definition of the framework for the academic staff's research on the intranet.</p>
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**Comment on the implementation of Open, Transparent, Merit-based Recruitment principles**

UCHP was awarded the HR Excellence in Research seal in July 2015, prior to the publication of report of the steering Group of Human Resources Management of the European Research Area of Open, Transparent and Merit-based Recruitment of Researchers (OMT-R). The actions carried out, being undertaken or pending on the OTM-R-checklist are therefore apart from being mentioned in the Action Plan also mentioned in the OMT-R checklist attached and in the following comments.

Recruitment

Danish law and UCPH internal policies, rules and guidelines together ensures an open, transparent and merit-based recruitment system for researchers on UCPH.

According to its guidelines on recruitment and appointments, UCPH wishes to attract and retain the best qualified individuals – nationally and internationally – in all areas of employment. A successful recruitment process requires that the University is perceived as an attractive workplace among potential applicants, and that the recruitment process is characterised by best practices in terms of both content and speed. The purpose of the present guidelines is to establish the framework for the University's recruitment process and the involvement of employee representatives.

All positions at the University are normally filled following advertisement as stipulated by the 'Executive Order on Appointment Notices'. Positions at professor and associate professor level must be advertised internationally, except under special circumstances of an academic nature. As a rule, UCPH advertises these positions on EURAXESS.

In order to ensure that the process is swift and efficient, the Management has to draw up a time and process schedule for filling a vacant position.

It also appears from the 'Executive Order on Appointment Notices' that the individual university must lay down rules for the academic assessment of applicants for academic positions. UCHP has prepared a set of assessment guidelines and a guide for ineligibility in connection with recruitment.

In addition UCHP has guidelines for the shortlisting procedure, tenure track guidelines etc.

The recruitment procedure is available on <http://employment.ku.dk> and is also mentioned in the job advertisements.

UCHP regularly holds internal courses for employees about the recruitment of academic staff where these various processes are included.

A new IT system, HR Manager, has been taken into use in spring 2017. The system supports the OTM-R principles and ease the burden on the researchers in connection with applications. HR manager provides a highly improved support from HR, and has a modern and flexible design externally, which makes it easy to use for applicants. The system can be accessed from a PC, tablet and mobile. The system gives a total overview of the entire recruitment process. The system makes it easy to check whether the appointment committees and assessment committees have been set down in accordance with the rules. HR Manager ensures quick responses during the recruitment process. Also all candidates receive a letter with an explanation of a rejection giving the criteria that have been emphasised in the selection.

#### Career, Gender and Quality

As part of the Action Plan for "Career, Gender and Quality – equal opportunities in research and management" UCPH has given a special attention to OTM-R.

3 out of 9 incentives in the action plan are addressing OTM-R:

1. Open recruitment processes, including the use of search committees for all management, permanent associate professor and professor positions:

- Search committees should be established prior to filling appointments at UCPH. These should work actively to identify potential national and international candidates, and to focus on identifying talented individuals, for all managerial posts and permanent associate professorships and professorships (full and with special responsibilities).

- UCPH managers are to receive further training in recruitment processes.

- UCPH academics should be made aware of the possibility of advertising scientific positions in areas where there are qualified but under-represented genders and where there are also gender imbalances.

#### **2. Breadth of applicant cohort – reflected in that:**

There is to be at least one applicant of either gender before a post can be filled.

It is possible to get dispensation from the above requirement from the Rector, so that the requirement does not block appointments in situations in which it turns out that affirmative is insufficient to get at least one person of each sex to apply for a position.

#### **3. Assessment and appointment committees are to have equal balances and at least both genders are to be represented**

There should be a requirement for assessment and appointment committees to have equal representation of women and men and should at the very least consist of both genders.

The Dean can grant dispensation from the above requirements so as not to block assessment committee appointments. When managerial appointments are being made, dispensation can be granted by a more senior manager.

#### **4. IMPLEMENTATION (MAX. 1 PAGE)**

The midway evaluation has been conducted in the way that we have received status, descriptions and documentation from the employees who are responsible for each item in the Action Plan.

The research community has been involved in the work along the way. Many researchers have been directly responsible for working with the actions in the Action Plan. The researchers have also been involved via the General Collaboration Committee. The General Collaboration Committee consists of 24 members including the rector, nine management representatives and 14 employee representatives, who are elected from among the union representatives. The General Collaboration Committee plays an important role at UCPH and must contribute to the development of management and employee collaboration.

The interim evaluation to the European Commission has also been in consultation with the working group, who prepared the HRS4R Action Plan in 2015. This group includes several researchers.

Within each area in the Action Plan, for example tenure track, Career, Gender & Quality, etc., there are also several distinct steering groups, reference groups and working groups with researchers as a significant part of the participants.

The steering committees and the Senior Management-Team as well as the General Collaboration Committee receive all new initiatives and changes with suggestions for the future process, communication and implementation.

Many of the action plan's initiative have already been implemented. This has been done through for example guidelines, news items on the intranet, meeting minutes and in connection with teaching.

The steering committees also follow up on whether the implemented changes are used in practice. For example the Tenure Track Committee reviews data on their two annual meetings, and the reference group for Career, Gender and Quality also follows up on the implementation at their three annual meetings.

As mentioned above in the narrative, the UCPH will in autumn 2017 begin the setting of new HR strategic goals and expects to send the new proposals to the Commission in spring 2018. When the new HR-strategic goals have been set, the process for the HRS4R step 5 'external review' will be prepared.