



Turun yliopisto  
University of Turku

# APPRECIATION AND SUPPORT FOR RESEARCHERS SELF-ASSESSMENT AND REVISED ACTION PLAN 2016-2017

# Contents

|   |    |
|---|----|
| University of Turku at a glance .....   | 3  |
| Commitment to the HRS4R project.....  | 4  |
| The approach and methodology applied in the Self-Assessment.....                        | 4  |
| Review and revision of the Action Plan .....  | 5  |
| New focus area - working life skills and employability for Early Stage Researchers..... | 5  |
| Open inquiry on the impact of completed actions .....                                   | 6  |
| Relevant data from other surveys and processes .....                                    | 7  |
| UTU Strategy for 2016-2020 .....  | 7  |
| The international Research Assessment Exercise 2015-2016.....                           | 10 |
| Doctoral Candidate Survey of UTU Graduate School .....                                  | 10 |
| Well-being at Work Survey with questions on equal treatment .....                       | 10 |
| Conclusion.....   | 11 |
| <br>  |    |
| ACTION PLAN 2016-2017 FOR ENHANCING THE POSITION OF RESEARCHERS AT UTU .....            | 12 |
| I ETHICAL AND PROFESSIONAL ASPECTS .....  | 12 |
| II RECRUITMENT .....  | 16 |
| III WORKING CONDITIONS AND SOCIAL SECURITY .....  | 18 |
| IV TRAINING .....   | 21 |







## UNIVERSITY OF TURKU AT A GLANCE

The University of Turku (UTU) is an internationally competitive university whose operations are based on high-quality, multidisciplinary research. It is a diverse university community of more than 25,000 students and employees. UTU promotes education and free science and provides higher education that is based on research. The University is part of the international academic community and collaborates closely with the Finnish society and participates actively in the development of its region.

UTU is located in the city of Turku, southwestern Finland. Turku is an active hub of business and education (pop. 200,000). The university campus is in the historical city centre by the river Aurajoki, close to the city's other higher education institutions, the Turku Science Park and the Turku University Hospital.

The University of Turku was the first Finnish-language university in the world. It was founded in 1920 thanks to the initiative of the Finnish people and with donations from 22,040 citizens, hence the unique legacy "From a Free People to Free Science and Learning".

## Key data

-  Total number of students 20,000, of which over 1,800 doctoral candidates
-  Yearly over 2,400 international students from over 100 countries
-  Bachelor's degrees 1,500 and Master's degrees 1,700 per year
-  Doctoral degrees per year: 180
-  Employees 3,300
-  Publications 5,000, original peer-reviewed articles over 2,200

## COMMITMENT TO THE HRS4R PROJECT

The Finnish Council of University Rectors endorsed the Charter & Code in 2009. The University of Turku joined the 3rd cohort of the project in 2012, as one of the first 4 universities from Finland. The commitment of UTU to implement Charter & Code was included in the UTU Strategy for 2013–2016 and in the UTU Human Resources Policy, issued in Feb and March 2013.

UTU built its approach on three central principles:

- commitment of university leadership
- involvement of all institutional stakeholders through a participative process
- relating the process with existing strategies and processes.

UTU guidelines and instructions were generally in line with the Charter & Code recommendations, but gaps were identified between the guidelines and actual practices. In the Gap Analysis data was gathered through several channels of information, such as university-level committees and working groups, open intranet inquiry, a workshop, email, existing reports, surveys or other sources of information.

The Steering Committee's proposal for an Action Plan was published on the intranet for the university community to comment on from 15 March to 5 April 2013. The finalised Action Plan was approved by the Rector on 7 May 2013 and submitted to the European Commission, which granted UTU the HR Excellence in Research logo on the 17th of June 2013.

## THE APPROACH AND METHODOLOGY APPLIED IN THE SELF-ASSESSMENT

The Steering Committee for the Self-Assessment process was chaired by Vice-Rector, professor Riitta Pyykkö and the members included two doctors currently at an administrative post, a union representative and 3 members of the administrative staff specialising in HR and quality assurance:

Professor, Vice-Rector Riitta Pyykkö, Chair  
Lecturer Eero Kuparinen, Public Sector Negotiation Commission JUKO  
Quality Manager Anu Mäkelä  
HRD Planning Officer Johanna Mäkinen, Secretary  
Research Liaison Officer Mari Riipinen, PhD  
Human Resources Director Tom Riski  
Coordinator of UTU Graduate School Elise Pinta, PhD

The main activities of the Self-Assessment process at UTU were:

1. Review and Revision of the Action Plan for 2016–2017
2. Open inquiry on perceived impact of the completed actions
3. Collection of relevant data from several ongoing surveys and processes (e.g. building of the University Strategy 2016–2020).

## REVIEW AND REVISION OF THE ACTION PLAN

In the spring 2015, the responsible and executive parties of the Action Plan 2013–2015, answered an email inquiry regarding the status and perceived impact of the actions. The overall outcome was that most actions had already been or were soon to be completed. In some cases the target had shifted or the process had been delayed due to changed circumstances. The status of the various actions is indicated with colours and reported in the revised Action Plan for 2016–2017.

Some university-level committees and working groups were contacted in the spring. It soon became apparent, however, that several surveys and assessment procedures were already underway or taking place in autumn 2015. A lot of useful data for the Self-Assessment procedure could therefore be retrieved from these processes addressing the same stakeholders:

- building of the University Strategy for 2016–2020 through a participative process (discussions and a community survey)
- a comprehensive international Research Assessment Exercise
- a doctoral candidate survey of the UTU Graduate School (UTUGS)
- a well-being at work survey of the entire personnel including detailed questions on experienced or witnessed discrimination or unequal treatment.

In the revised Action Plan, numerous development targets and actions that are in line with the Charter & Code recommendations, are extracted from and followed up as part of the University's own strategic Policy Programmes and other processes following these surveys and assessment procedures.

## New focus area – working life skills and employability for Early Stage Researchers

The employment situation for doctors has declined since the first action plan was drafted in 2013. Improving researchers' competency for working life and supporting their career planning and employability are identified as important emphases for the future.

With the continuation project of the Appreciation and Support for Researchers, Early Stage Researchers project the University of Turku develops and supports the working life competence and skills of doctoral candidates and post doc researchers to enhance their employability.

In the doctoral candidate survey of the UTU Graduate School, over 20 % of the respondents were afraid of unemployment after completing their doctoral training. Currently the UTUGS is making concrete plans on how to incorporate career discussions into the thesis supervision process and how to further support doctoral candidates in career planning and in the acquisition of skills required in the working life.

A Workshop on Career Planning was organised on 25 Jan 2016. The 39 participants were researchers from career stages R1, R2 and R3 and personnel from the research support services. The development suggestions resulting from the workshop included several already completed actions which are not yet known to everybody. Many suggested targets for development were already included in the action plans of the HRS4R and Early-Stage Researcher projects or the new Strategy for 2016–2020. Thus the workshop corroborated and highlighted the importance of these actions.

Some ideas that evolved could be put into practice immediately: e.g. two days after the workshop, the UTU Career Services presented its functions in the

orientation event for new doctoral candidates. Support of career planning has also been added as a new module to the Training for Thesis Supervisors. In close co-operation the UTUGS, the HR Development services and the Career Services will carry out other concrete actions to promote awareness of various, also nontraditional career paths for graduates with a doctoral degree.

## OPEN INQUIRY ON THE IMPACT OF COMPLETED ACTIONS

In the autumn 2015, an open intranet inquiry was designed with the purpose of finding out how well the completed actions were known to the research community and what impact they were perceived to have had, if any. The inquiry was open and advertised, both in Finnish and in English, from 16 Oct to 15 Nov 2015. Of the 77 respondents 73 were researchers from all four career stages: 27 represented R1, 13 R2, 21 R3, and 9 R4 researchers and 19 were researchers with a teaching post.

The responses to the inquiry brought forth same themes which also arose from the other surveys and assessments. Many of the experienced disadvantages were linked with the source of funding and the resulting unequal position of researchers without an employment contract. In the Finnish, and more generally the Nordic system, university researchers can either have a salaried employment contract with the university, or they can fund their research work e.g. through a personal, grant or scholarship. The position of a grant recipient is not and cannot be fully equal to the position of an employed researcher, since the benefits belonging to an employment relationship, such as occupational health care services, cannot be provided for recipients of a non-taxable grant. The university is, however, committed to improve the grant researchers' position as far as feasible.

Currently also the funding organisations pay attention to this discrepancy. Recently the Council of Finnish Foundations (COFF) has recommended that its members seek to improve the grant recipients' social position. Foundations are, however, reluctant to fund for salaries instead of awarding personal grants, because they can fund the work of a larger number of persons with the same amount of money. If salaries were paid, approximately one third greater funding would be needed per person. The COFF and universities are negotiating improvements e.g. in the form of a commitment-based funding (the funding organisation compensates to the university its commitment to provide regular research facilities to a grant recipient).

Judged on the basis of responses to the open inquiry, as well as the results of the other surveys and assessment, the most important improvements or clarifications in the position and circumstances of researchers at UTU have been

- increased focus on and acknowledgement of the position of grant researchers
  - a model document for specifying the rights and responsibilities of grantees/visiting researchers conducting research at the University and UTU departments (which can also be used as a commitment document towards the funding organisation),
  - more information of the differences between employee and grantee status,
  - improved access to information and services that can be offered also without an employment relationship (inclusion on email lists, Weekly mail, University Sports)
- improved working conditions and social security
  - more paid doctoral candidate and post doc positions
  - prolonged employment contracts and career prospects (tenure track positions, shift from fixed term contracts to permanent positions, when feasible)

- more attention to concrete working conditions
- harmonisation and systematisation of doctoral studies
  - guidelines of the UTU Graduate School
  - a common, open recruitment procedure to all doctoral programmes
  - regular follow-up of progress in doctoral studies via an electronic system (SAIMI)
  - relevant transferable skills training offered regularly
- improved support services for funding opportunities and applications
- integration of international staff members/improvement in internationalisation
  - more information available in English
  - more training in Finnish as a foreign language.

Although many respondents acknowledged the made improvements, the same issues still remain target areas for further development or broader implementation into practice. The same target areas are highlighted also in discussion on national level. The Finnish Ministry of Education and Culture summoned a working group to create an overall view on the challenges of doctoral training and employability of doctors. The Human Resources Director of UTU represented the university sector. In its final report which was published on 12 Feb 2016, the working group emphasises the importance of developing the contents of doctoral studies and the quality and quality assurance of thesis supervision to encourage and enable doctoral graduates to find employment in a wider selection of jobs. Joint efforts of the Ministry, universities, research and other working life organisations are called for to make nontraditional career paths for doctors more visible and the competence of doctors more easily recognisable in the society.

## RELEVANT DATA FROM OTHER SURVEYS AND PROCESSES

### UTU Strategy for 2016–2020

Effective research is one of the four main goals of UTU Strategy for 2016–2020. Many of its 16 Policy Programmes and actions are fully in line with the recommendations of the Charter and Code. The following have been extracted to the revised Action Plan for the HRS4R project:

## STRATEGIC GOAL: EFFECTIVE RESEARCH

### Policy Programme 1: **Diverse and interdisciplinary research**

- A Research Assessment Exercise will be carried out in 2019 and it will review the realisation of the goals set for the quality of research in the 2014–2017 period.

### Policy Programme 2: **Researcher career path**

Objectives and actions are set for all four stages of researcher career path.

All 11 actions are included in the Appreciation and Support for Researchers Action Plan:

- Phase 1:
  - The position of doctoral candidates trained in UTUGS with different forms of funding is made as equal as possible
  - National co-operation is increased in doctoral training.
  - International recruitment is enhanced by increasing the visibility of calls for applications.
  - The completion of full-time doctoral candidate degrees within the target time is promoted with more precise monitoring and field-specific measures.

- Phase 2:
  - A system is developed for fixed-term postdoctoral researcher positions, which covers the whole University and places special emphasis on international recruitment.
- Phase 3:
  - The tenure track system is developed further and its utilisation is increased.
  - Research leaves are arranged and opportunities for research in teaching-oriented positions are also increased.
- Phase 4:
  - Supporting new professors in the initiation of their work.
  - Creating a system of research leaves for the professors
  - International professors' working opportunities and integration are improved at the University. Studying Finnish is encouraged and integration to Finland is supported.

#### Policy Programme 3: **Open science**

- A road map for open science is realised and it covers the openness of research data, publications and methods, related training and support as well as the enterprise architecture of research.

#### Policy Programme 4: **Research support and infrastructures**

- Expanding the shared use and maintenance of support services and infrastructures for research within the University as well as with other higher education institutions in Turku and the hospital district.

## STRATEGIC GOAL: RESPONSIBLE EDUCATION

#### Policy Programme 5: **High-quality learning and flexible study tracks**

- Teacher tutor training will be made permanent. In addition, sufficient training will be provided for everyone whose work includes guidance. For example, the training programme for doctoral thesis supervisors is continued and developed.

#### Policy Programme 6: **Digitalisation of teaching and learning**

- Teachers are encouraged to utilise the English-language web pages on university pedagogics opening at the beginning of 2016.

#### Policy Programme 7: **Internationality in education**

- Each degree programme in English will incorporate a study module that introduces the students to the Finnish language, society and culture.

#### Policy Programme 8: **Education and working life**

- The faculties' contacts to working life are strengthened by establishing subject-specific advisory boards.
- The University's alumni activities are strengthened. Mentoring methods are developed further. For example, the mentoring programme for doctoral candidates will be continued and developed further.



## STRATEGIC GOAL: A CATALYST FOR SOCIAL WELL-BEING AND THE ECONOMY

### Policy Programme 9: **University for entrepreneurship**

- Creating a mode of operation that enables researchers to temporarily relocate to companies or work as an entrepreneur.

### Policy Programme 10: **Societal interaction**

- Communications training is offered to the personnel and doctoral candidates.

### Policy Programme 11: **Transnational education**

- Internal training in product development is provided. Transnational education creates new academic career opportunities.

### Policy Programme 12: **Dynamic innovation activities**

- Innovations are identified at an early stage (e.g. education, innovation competitions, scouting).
- The rules on copyrights, IPR policy, and capital contribution models are standardised.

## STRATEGIC GOAL: COMMUNITY WELL-BEING

### Policy Programme 14: **Good management and the well-being of the work community**

- Monitoring well-being at work with workplace well-being surveys and data collected by the Occupational Health Services. The data received in the 2015 survey is utilised in the entire work community.

### Policy Programme 15: **The ability to study and the well-being of the students**

- Increasing training for the advisers and supervisors of degree students and doctoral candidates. The training programme for doctoral thesis supervisors, including topics related to well-being and career planning, will be continued and developed further. Increasing share of supervisors attend training sessions and programmes.
- The Early Support of Ability to Study model for students will be implemented in each faculty.

### Policy Programme 16: **Active human resources planning and recruitment**

- Using primarily international recruitment to fill teaching and research personnel positions.
- Self-assessment and an external assessment are carried out in the Appreciation and Support for Researchers project.

Utu Strategy 2016–2020

UTU Strategy Policy Programmes 2016–2020

## The international Research Assessment Exercise 2015–2016

In 2015–2016, UTU is undergoing a Research Assessment Exercise (RAE). The process has three stages: self-evaluation of the units, bibliometric analysis of the publication data of the University of Turku from 2010–2013 and international peer assessment of all faculties and those independent units that conduct research. The panels compare the University's practices to international models and highlight matters the units should consider and give constructive ideas for development. The panel assessments were conducted in autumn 2015, and the targets for development arising from the assessment exercise will be set in the spring 2016, although some of the development ideas are already reflected in the new strategy, as it was finalised simultaneously with the ongoing assessment exercise.

One common outcome of the panel discussions was that more attention should be paid to the uncertainty and highly demanding position of post doc researchers. These second phase researchers are included in the target group of the Early Stage Researchers project and actions targeted for doctoral candidates can and will also be directed at post doc researchers in 2016–2017.

## Doctoral Candidate Survey of UTU Graduate School

In autumn 2015, the survey was carried for the second time, the first took place in 2012. The 567 respondents account for 31.5 % of the doctoral candidates. The responses were analysed at the UTUGS level, and also all Doctoral Programmes received an anonymous summary of responses from their own doctoral candidates.

One third of the respondents were interested in continuing their career as a post doc researcher, but as many as 20 % were afraid of unemployment after defending their thesis. Based on these results, the Steering Committee of UTUGS stresses the importance of providing career discussions as part of thesis supervision and guidance and of supporting the doctoral candidates in the acquisition of skills and competences required in other, non-traditional career paths. The data from the survey will be analysed further in a master's thesis of the Faculty of Education.

## Well-being at Work Survey with questions on equal treatment

The results of the well-being at work survey were reported on the level of actual work communities, in order to enable consequent development work. The superiors are expected to discuss the results with their staff and together decide upon a few concrete actions to improve the well-being of the community. The superiors are strongly advised to include all members of the community, both employed and grant-funded, in the discussions and development work. Special attention will be focused on units in which the results indicate potential discrimination or inappropriate behavior.

In the survey, 28.2 % of the respondents replied that UTU should make more efforts to safeguard equality and non-discrimination. The Equality Committee is taking the survey results seriously and in early 2016 it will, together with the Occupational Safety and Human Resources Development, plan and carry out actions to further improve equal treatment and fight discrimination of any kind. The UTU Early Support of Work Ability model gives guidelines on how to act in case of experienced discrimination or inappropriate behaviour. More information on the model and encouragement to follow the procedures seems, however, to be necessary.

## CONCLUSION

The Self-Assessment procedure showed that almost all of the actions UTU was committed to in 2013–2015 have been carried out, and in many cases the development work has also continued further. In one case, the delayed implementation of the action has been due to organisational changes, and will be completed soon. The other yet unattained targets have been included in the Policy Programmes of the new UTU Strategy. This emphasises the importance of these actions despite their complicated nature, and highlights the commitment of UTU to make progress also in these issues during the strategy period 2016–2020.

In the new Strategy for 2016–2020, numerous actions of its 16 Policy Programmes are in line with the Charter & Code recommendations. The focus of the development work has thus shifted from the separate HRS4R project to UTU's own strategic development.

# ACTION PLAN 2016-2017 FOR ENHANCING THE POSITION OF RESEARCHERS AT UTU

## Principles of the European Charter for Researchers & Code of Conduct for the Recruitment of Researchers:

### I ETHICAL AND PROFESSIONAL ASPECTS

- Research freedom • Ethical principles • Professional responsibility • Professional attitude • Contractual and legal obligations • Accountability
- Good practice in research • Dissemination, exploitation of results • Public engagement • Non-discrimination • Evaluation/Appraisal systems

| ACTION   | RESPONSIBILITY  | TIME FRAME   | STATUS IN 2015<br><b>New developments in bold</b>   |
|--|---|--|---|
| <b>ETHICAL PRINCIPLES AND GOOD PRACTICE IN RESEARCH ARE CONSOLIDATED WITH DISSEMINATION OF INFORMATION AND TRAINING ON NEW INSTRUCTIONS AND GUIDELINES:</b>  |   |  |   |
| 1. <b>Principles of doctoral training at the University of Turku</b> (1 Aug 2012).   | University of Turku Graduate School (UTUGS)   | Implementation, dissemination of information, follow-up in doctoral programmes 2013-2015 | Continues as planned. <b>Rules of Procedure for UTUGS 24.2.2014. Electronic application and follow-up system SAIMI for doctoral candidates in 2015.</b>   |
| 2. <b>Responsible Conduct of Research Guidelines</b> (updated in 2012), <b>Template for researchers's CV</b> , and other services of the Finnish Advisory Board on Research Integrity (www.tenk.fi). | Faculties<br>UTUGS (website, training)<br>Ethics Committee (misconduct)   | In 2013  | Continues as planned.   |
| 3. Since 1 Jan 2013, <b>all licenciate and doctoral theses undergo an electronic originality check</b> using the plagiarism detection system.  | Academic and student affairs (training) <b>fairUTU website</b> (dissemination)<br>UTUGS (dissemination) doctoral thesis supervisors | FairUTU training sessions in spring 2013 and later on demand                             | Continues as planned. <b>Since 1 Aug 2013 also bachelor's and master's theses are checked for originality. Over 800 participated in fairUTU trainings in 2013-2014. Since then guidance is given primarily on-line.</b> |
| 4. <b>Guidelines for Misconduct and Fraud at the UTU</b> (19 Dec 2012).  | Academic and student affairs (training) <b>fairUTU website</b> (dissemination)  | FairUTU training sessions in spring 2013 and later on demand                             | Continues as planned. <b>Faculties report electronically 4 times a year the number and type of misconduct or fraud. No serious cases pending in 2015.</b>   |
| 5. A concise wall chart of <b>Ethical Guidelines for UTU</b> is drawn up.  | Teaching and Learning Council   | Spring 2013  | Wall chart was approved by the Teaching and Learning Council on 5.9.2013. Can be printed from the Intranet and posted on classroom walls.   |

**ACCOUNTABILITY, PUBLIC ENGAGEMENT, INTERACTION WITH SOCIETY AT LARGE AND DISSEMINATION OF RESEARCH RESULTS ARE ENHANCED BY:**

|  |  |  |  |
|--|--|--|--|
| <p><b>1. Training and support for researchers in developing their communication skills</b> (training and practice in written and spoken communication , popularisation of science etc. )</p>         | <p>UTUGS<br/>Human Resources Development<br/>University Communications<br/>Research Collegia</p>   | <p>Continuous development<br/>new form in 2013: Science Slam</p>   | <p>Continues as planned<br/>Regularly courses on the UTUGS and staff training programmes.<br/><b>Science Slam organised on several occasions, also Falling Walls Lab. Regular cooperation with local media – researches interviewed on radio and press. An action in the Strategy 2016–2020.</b></p> |
| <p><b>2. Collecting and delivering information on research with societal impact and on cooperation with interest group.</b> In 2013, acquisition of <b>Converis research information system.</b></p> | <p>Vice Rector/Societal interaction group-<br/>societal interaction network<br/>University Communications<br/>Research Council<br/>Researchers</p> | <p>The next societal interaction survey: spring 2013,<br/>network events annually, Converis in autumn 2013</p> | <p>Converis acquired in 2013. <b>Forms for collecting research merits available since spring 2015, in active use in the School of Economics.</b><br/>Introduction of an expert search function of the research portal (research.utu.fi/portal) scheduled for summer 2016.</p>                        |
| <p><b>3. New media and channels of publication are used</b> (web pages, social media, iPad journal <b>UTU Annual of Science</b>).</p>  | <p>University Communications</p>   | <p>The first UTU Annual of Science in Feb 2013, in the future annually</p>                                     | <p>Annually, UTU publishes two on-line magazines in English: <i>UTU Life and Science</i> and <i>Mercurius</i>. Information in English is spread in Twitter, Facebook and Instagram<br/><b>Since Oct 2015 video clips on current research topics are published on YouTube.</b></p>                    |
| <p><b>4. Popular events for public engagement are continued and developed</b> (Children's University lectures and summer camps, Science Forum, fairs and events, events for the alumni).</p>         | <p>University Communications<br/>in cooperation with other units</p>   | <p>The Science Forum in Turku in 2013<br/>other current events annually: Turku Book and Science Fair</p>       | <p>Science Forum every other year (2013, 2015), Turku Book and Science Fair yearly. Children's University continues<br/><b>Science Café with changing scientific theme open for public every other week at a local café.</b></p>   |

**RESEARCHERS' ABILITY TO IDENTIFY COMMERCIALY SIGNIFICANT INNOVATIONS AS WELL AS THE OPERATIONAL PREREQUISITES FOR EXPLOITING THEM WILL BE IMPROVED BY PROVIDING INSTRUCTIONS, GUIDANCE, TRAINING, OTHER SUPPORT SERVICES AND BY COOPERATING WITH OTHER REGIONAL ACTORS:**

|  |  |  |  |
|--|--|--|--|
| <p><b>1. Guidelines for Principal Investigators / Scientists in charge of research projects will be drawn up</b> both in Finnish and in English. Information delivery about guidelines available (<b>Guideline for Inventions, Trademark Guideline</b>) and support services provided by Innovation Services will be increased, incl. presentation tour on campus.</p> | <p>Research and Innovation Services in cooperation with other units</p>                                      | <p>Trademark Guideline 03/2013, Guideline for Inventions and Guideline for Principal Investigators issued in 2013, tour on campus 2 times per year</p> | <p>The drafting of the Guideline for Principal Investigators was suspended, because the administrative practices needed clarification. A university-level working group will prepare instructions for appointing scientists in charge of research projects by May 2016. The Guideline for PIs will then be finalised accordingly. The campus tour was piloted and discontinued because of modest interest. <b>Targeted and tailored visits supporting strategic funding plans of units and "clinics" related to specific funding calls have proven more useful.</b> Improved support services for funding were commented in the Inquiry.</p> |
| <p><b>2. Training to raise awareness about exploiting research results will be organized</b> both in Finnish and in English (incl. items like IPR's, patent databases, business &amp; market databases, entrepreneurship, business skills).</p>  | <p>UTUGS<br/>Innovation Services<br/>BID Innovation</p>  | <p>Training organised annually</p>   | <p>New training courses: 06/2014 <i>Turning competency into a product</i> (staff training), <i>Research Career through the lense of Research Funding</i> (UTUGS). Training also offered on Impact, patent databases, innovations.</p>  |
| <p><b>3. Innovation candidates with international growth potential will be evaluated by expert panels in a process twice a year</b> (two closing dates for submitting proposals) including selection of the most promising candidates to apply funding from Tekes (the Finnish Funding Agency for Technology and Innovation) TUTLI funding instrument.</p>             | <p>Innovation Services</p>   | <p>Evaluation process for innovation candidates 2 times a year</p>   | <p>The systematic process is carried out twice a year (May and Nov). In 2013-2014 18 potential innovations were identified, a total of 84 proposals for exploitation.</p>  |
| <p><b>4. Support will be given to find also alternative paths for commercialization.</b> Greip is a database service helping confidential management of IPR's and exploitation agreements.</p>   | <p>Innovation Services</p>   | <p>Greip acquired in Jan 2013, accessible for inventors in summer 2013</p>   | <p>Greip launched in 1.9.2014: annually 20-30 invention disclosures and 4-5 patents are handled confidentially in the system.</p>  |
| <p>5. Effective use of resources in the regional innovation operations is enhanced by <b>collaboration between University of Turku and Åbo Akademi University</b> (uniform framework and collaboration in evaluation of candidates, joint projects).</p>   | <p>Research and Innovation Services university leadership (Vice Rectors)</p>                                 | <p>Continuous development</p>  | <p>Large-scale information meetings, such as Finance in Horizon, organised in co-operation with the swedish-speaking university Åbo Akademi. Participation in local research service network. Co-operation in the Tekes Call for TUTL.</p>   |
| <p><b>6. Innovation operations of the two universities will be linked into the regional innovation chain</b> (business incubators and accelerators, seed funding etc.)</p>   | <p>Research and Innovation Services university leadership (Vice Rectors) joint projects with Åbo Akademi</p> | <p>Continuous development</p>  | <p>Active co-operation with Turku Science Park and other local start-up and business incubator and innovation chain activities.</p>  |

### NON-DISCRIMINATION AND EQUAL TREATMENT IS FURTHER ENHANCED:

|  |   |  |  |
|--|---|--|--|
| <p>1. <b>Availability of services and information in English is improved:</b> important administrative instructions, forms and internal news communication are translated into English and information on the instructions is delivered also in English.</p> <p>2. Information on the <b>University of Turku Equality Plan</b> in both Finnish and English is made easily available on the Intranet and on the UTU website</p> <p>3. Information on the new <b>Guidelines on Special Arrangements for Students with Disabilities and Students with Special Needs</b> is spread in both Finnish and English. The Disability Coordinator monitors the implementation of the special arrangements in cooperation with the Equality Committee.</p> <p>4. <b>Emeritus/Emerita contracts allow continuation of active research work as a member of the academic community.</b></p> | University Services/Project Planning Officer in Quality Assurance University Communications faculties and units | Resources available until the end of year 2013   | Translators recruited to University Communications. Positive comments on increased availability of documents in English were received in the Inquiry.  |
|  | Equality Committee  | Available on Intranet and on UTU website in spring 2013<br>Update of Equality Plan for 2014-2016 | Regularly updated and available. <b>In well-being at work survey 2015, only 60,6 % of employed staff were aware of its existence. Equality Plan will be updated in 2016 and effectively informed about when published.</b> |
|  | Disability Coordinator (monitoring, annual reporting) Equality Committee faculties, units in charge of studies  | Follow-up of implementation of guidelines, reporting yearly 1/2014 and 1/2015                    | Annual reporting OK.<br><b>New: in 2015-2017 accessibility testing of UTU website (part of the RSGT project with the city of Turku) and actions rising from the test results.</b>  |
|  | Deans, Director of the School of Economics or officers appointed by them  | Model for an Emeritus/Emerita contract provided on 3 Dec 2012                                    | <b>Around 60 Emeritus/Emerita contracts, and in addition, 5 Senior Fellow contracts have been signed by end of Feb 2016</b>  |

### EVALUATION AND APPRAISAL SYSTEMS ARE DEVELOPED:

|  |  |   |  |
|--|--|---|--|
| <p>1. Evaluation of research on the Areas of Strength is completed. <b>In 2015, a comprehensive international peer assessment of research</b> is conducted.</p> <p>2. The procedures for the review discussion and the assessment discussion connected to the University salary system take due account of a wide range of merits. <b>Separate Guidelines for the Evaluation of Merits in Societal Interaction was issued in spring 2013</b> (9.1.2013).</p> | Research Council (functions as the steering group)                               | Preparatory phase starts in spring 2013<br>Peer assessment in autumn 2015<br>Processing the results spring 2016 | Continues as planned.<br>An international Research Assessment Exercise (RAE) is conducted in 2015-2016. The panel visits took place in autumn 2015. Targets for development are defined in spring 2016. Will be repeated in 2019 (Strategy 2016-2020). |
|  | Vice Rector/Societal interaction group, societal interaction network supervisors | Beginning from 2013   | A simplified process for the job demand level assessment of doctoral candidates since 1 Jan 2013. Action in the Strategy 2016-2020: Developing indicators for the follow-up of societal interaction.   |

## Principles of the European Charter for Researchers & Code of Conduct for the Recruitment of Researchers:

### II RECRUITMENT

- Recruitment (Charter) • Recruitment (Code of Conduct) • Selection (Code of Conduct) • Transparency (Code of Conduct) • Judging merit (Code of Conduct) • Variations in chronology of CVs • Recognition of mobility experience • Recognition of qualifications • Seniority (Code of Conduct)
- Postdoctoral appointments

| ACTION   | RESPONSIBILITY   | TIME FRAME   | STATUS IN 2015<br><b>New developments in bold</b>   |
|--|--|--|---|
| <b>INTERNATIONAL RECRUITMENT AND THE INTEGRATION OF FOREIGN RESEARCHERS INTO THE UNIVERSITY COMMUNITY AND THE FINNISH SOCIETY ARE SUPPORTED:</b>   |  |  |   |
| <p><b>1. The functions of the International Welcome Services (IWS) are developed further and information on them is made readily available.</b><br/>The services of the IWS unit are made use of during the recruitment process. For their part, the Human Resources office and the University of Turku Graduate School UTUGS promote the visibility of the IWS.</p>   | International Office/International Welcome Service (IWS)<br>Human Resources (instructions for recruitment)<br>UTUGS (links on UTU website, foreign doctoral candidates to IWS mailing list)<br>Research Collegia | 2013   | <p><b>Since 1.8.2014, IWS part of the HR office. Renamed International Staff Services provides information and guidance also in employment relationship matters. International HR functions were reorganised and a network of contact persons in international affairs was started in 30.10.2014. A buddy programme for international doctoral candidates started in Jan 2015. UTU participates in the national FAMO network.</b></p> |
| <p><b>2. The use of international academic career networks and other international channels for publishing vacancies is increased.</b></p>   | Human Resources<br>University Communications<br>faculties and units  | Continuous development                               | Since 2013, Academic Positions has been used for publishing vacancies.  |
| <p><b>3. Researchers' opportunities for social interaction are supported</b> by organising <b>training in the Finnish language</b> (beginners' courses, "Finnish language clinic" for advanced learners), <b>promoting networking</b> (e.g. language learning in tandem pairs, book clubs) and participating also in the future in the joint <b>Friendship Programme</b> of the institutes of higher education in Turku.</p> | Human Resources Development (Finnish for Beginners, networking)<br>Language Centre (self-study)<br>School of Language and Translation Studies (the "clinic")<br>IWS (Friendship Programme, networking)           | Continuous services<br>new functions piloted in 2013 | <p><b>Finnish for Beginners courses I-II offered twice a year since 2013. In 2015 the Language Centre took over language training for the staff, and also level III course has been offered. Continued participation in the Friendship programme of higher education institutions in Turku.</b></p>   |
| <p><b>4. Assistance is provided in finding furnished flats and accommodation of long duration:</b> functioning of the guest house Villa Hortus is guaranteed in the future; IWS co-ordinates information on accommodation (noticeboard on the Intranet) and examines the possibilities for house swap.</p>   | Facility Services (guest house Villa Hortus)<br>IWS (information, house swap opportunities)  | Continuous development                               | <p><b>An accommodation secretary was recruited on 1.11.2014. In co-operation with the city of Turku, inexpensive Retrodorm guest house available for researchers. Since 2016 new apartments for longer stay of visitors in a new building (Kiinanpiha) at the campus area.</b></p>  |



**INTERNATIONAL MOBILITY OF STAFF IS ENCOURAGED AND RECOGNITION OF ITS VALUE IS ENHANCED:**

|  |   |   |  |
|--|---|---|--|
| <p>1. A support service website for outgoing mobility is published on the Intranet.</p>  | <p>University Services<br/>                     - Research Services<br/>                     - Financial Services<br/>                     - Human Resources office<br/>                     - International Office<br/>                     UTUGS<br/>                     University Communications</p> | <p>2013</p>   | <p>Intranet site for outgoing mobility was published in spring 2014.</p> |
| <p>2. The International Office continues to organise an <b>International Week</b> annually and to provide information and guidance on exchange opportunities also to researchers and teachers.</p> | <p>International Office</p>   | <p>Continuous service<br/>                     continuous development</p> | <p>Continues as planned.</p>   |

## Principles of the European Charter for Researchers & Code of Conduct for the Recruitment of Researchers:

### III WORKING CONDITIONS AND SOCIAL SECURITY

- Recognition of the profession • Research environment • Working conditions • Stability and permanence of employment • Funding and salaries
- Gender balance • Career development • Value of mobility • Access to career advice • Intellectual Property Rights • Co-authorship • Teaching
- Complaints/Appeals • Participation in decisions-making bodies

| ACTION  | RESPONSIBILITY   | TIME FRAME   | STATUS IN 2015<br><b>New developments in bold</b>   |
|---|--|--|---|
| <b>GRANT RESEARCHERS AND VISITING SCHOLARS ARE GIVEN ACCESS TO SERVICES PROVIDED FOR THE UNIVERSITY EMPLOYEES, WHEN IN LINE WITH NATIONAL REGULATIONS CONCERNING GRANTS:</b>  |  |  |   |
| 1. Obstacles in the flow of information are identified and removed.   | IT Services<br>University Communications   | Since Feb 2013 Weekly Post emailed also to affiliates with access right "Visitor/Teaching and Research Personnel Equivalent" | Continues as planned.<br><b>In the Intranet update in 2016, relevant information is made more easily available through a profile-based Researcher's Desktop.</b>  |
| 2. Since spring 2013, <b>University Sports services for personnel are also open for grant researchers and visiting scholars.</b>  | University Sports<br>Human Resources   | Since Jan 2013   | Continues as planned.   |
| 3. Regardless of their contractual situation, <b>all members of work communities can participate in workplace surveys and well-being at work surveys</b> and in the development work of the community arising from the surveys. | Occupational health care provider<br>occupational safety organisation<br>Human Resources Development                           | Continuous service   | Due to the nature of the questions, the Well-being at work survey was sent to employed personnel only (1 - 15 Oct 2015). Immediately thereafter (16 Oct - 15 Nov 2015) all researchers, including grant holders and visiting scientists, were able to answer the HRS4R Self-Assessment Inquiry. <b>In the discussions on survey results and subsequent development targets all community members are welcome to attend.</b> |
| 4. Early Support services, such as Work Community Mediation of conflicts, can also be used in situations concerning researchers who are not in an employment relationship with UTU  | Occupational health care provider<br>occupational safety organisation<br>Human Resources Development<br>Early Support contacts | Continuous service   | Continues as planned.   |

|  |   |  |  |
|--|---|--|--|
| <p>5. Research Services and the International Office provide support in research funding issues. The national Funding Database Aurora operates in 3 languages (Finnish, Swedish and English) and is available for all researchers.</p>   | <p>Research Services<br/>International Office</p>   | <p>Continuous service<br/>Aurora published in<br/>March 2013</p> | <p>Continues as planned.<br/>The Aurora database, maintained by UTU Research Services, is in active use. On its Facebook page it has over 600 followers. Several respondents to the Inquiry commented on increased and improved assistance in funding application, both from the Research Services and within the faculties.</p>   |
| <p><b>THE PRINCIPLES OF DOCTORAL TRAINING AT UTU WILL BE COMPLETED WITH A RECOMMENDATION THAT THE RESPONSIBILITIES, DUTIES AND ENTITLEMENTS OF THE DOCTORAL CANDIDATE, THE THESIS SUPERVISOR AND UNIVERSITY ARE CLEARLY DEFINED AS PART OF THE PROCESS OF GRANTING A DOCTORAL CANDIDATE THE RIGHT TO PURSUE A DOCTORAL DEGREE.</b></p>   |   |  |  |
| <p>1. The Principles document will include a comprehensive checklist of items to be discussed and agreed upon in this connection. The checklist can also be applied to other researchers.</p>  | <p>UTUGS</p>  | <p>2013-2015</p>   | <p>UTUGS recommends that Doctoral Programmes use the template for Doctoral Thesis Supervision Plan which defines the roles of the supervisor and the doctoral candidate. <b>In July 2015, UTU launched a document template to be used by the departments for agreeing on rights and responsibilities of researchers conducting research at UTU without an employment contract.</b></p> |
| <p><b>AS A RULE, FIXED-TERM CONTRACTS ARE MADE FOR THE ENTIRE DURATION OF THE TASK</b></p>   |   |  |  |
| <p>1. In general, a person in a fixed-term employment relationship is recruited for the whole duration of the fixed-term contract (e.g. for the duration of the whole substitution period, project or task).<br/>2. UTU uses fixed-term employment relationships only on the grounds stipulated in the legislation and monitors the use annually. The long-term endeavour of UTU is to limit the number of fixed-term employees by moving staff to on-going contracts on a case-to-case basis through annual human resources planning.</p> | <p>1. and 2.<br/>Human Resources Policy 2012<br/>Human Resources (instructions, monitoring)<br/>faculties, independent units, projects<br/>UTUGS, doctoral programmes<br/>Research Collegia</p> | <p>Continuous monitoring</p>                                     | <p>Continues as planned.<br/>Guidelines and instructions of UTU and UTUGS are in order.<br/>In practise, deviations are known to take place, but with more information dissemination the situation is improving.</p>   |

| <b>A CAREER DEVELOPMENT MODEL WILL BE DEVELOPED FURTHER TO COMPLEMENT THE CURRENT FOUR-STEP CAREER STRUCTURE.</b>  |   |   |   |
|--|---|---|---|
| A career development model will be developed further to complement the current four-step career structure.   | Human Resources   | Working group appointed 2013 model issued in 2014 | UTU has followed national development in the matter e.g. the HR Director was a member of a Researchers' Career Working Group of the Ministry of Education 2015-2016. New tenure track positions have been opened at the faculties. See <b>Policy Programme 4 in Strategy 2016-2020.</b> |
| <b>RESEARCHERS' PARTICIPATION IN DECISION-MAKING BODIES IS ENSURED:</b>  |   |   |   |
| 1. Doctoral candidates are represented in the UTUGS Steering Committee, Training Committee and Quality Assurance Committee as well as in the steering committees of UTUGS doctoral programmes.   | UTUGS (Principles of Doctoral Training)   | Beginning on 2013                                 | In the Rules of Procedure and in practice, doctoral candidates are represented in all committees of the UTUGS.  |
| 2. Participation of international researchers in decision-making bodies, committees and working groups of the university is increased by following the principle of receptive bilingualism and by creating opportunities for learning Finnish at an advanced level.<br>3. The central documents of the University Services are available also in English. In the faculties and units an increased share of the material is made available in English. When feasible, meetings are held in English. | 2. and 3.<br>University Services<br>faculties, departments and units<br>Research Collegia | Continuous development                            | Documents of the University Services are available in Finnish and in English. In the Faculties the situation varies according to needs. Learning Finnish at an advanced level is offered via the Finnish Clinic.  |

## Principles of the European Charter for Researchers & Code of Conduct for the Recruitment of Researchers:

### IV TRAINING

• Relation with supervisors • Supervision and managerial duties • Continuing professional development • Access to research training • Supervision

| ACTION   | RESPONSIBILITY  | TIME FRAME  | STATUS IN 2015<br><b>New developments in bold</b>   |
|--|---|---|---|
| <b>THE UNIVERSITY OF TURKU GRADUATE SCHOOL (UTUGS) AND THE DOCTORAL PROGRAMMES ORGANISE TRANSFERABLE SKILLS TRAINING AND DISCIPLINE/FIELD-SPECIFIC TRAINING INTENDED FOR DOCTORAL CANDIDATES AND OTHER RESEARCHERS:</b>  |   |   |   |
| <p>UTUGS continues to organise and develop piloted training courses and services, such as:</p> <ul style="list-style-type: none"> <li>a) UTUGS introduction to pedagogics</li> <li>b) training in copyrights</li> <li>c) training in career planning</li> <li>d) 1. article language checking service.</li> </ul> <p>In addition, UTUGS plans and develops new training, such as:</p> <ul style="list-style-type: none"> <li>d) supervisor training</li> <li>e) training in industrial property rights.</li> </ul> | <p>UTUGS cooperating e.g. with:</p> <ul style="list-style-type: none"> <li>Human Resources Development</li> <li>Educational Development</li> <li>International Office</li> <li>Language Centre</li> </ul> | <p>2013-2015<br/>continuous development based on feedback and anticipated needs</p> | <p>Continues as planned.<br/>Courses and services a-d are continued.<br/>Examples of new training courses:<br/><b>In 2014-2015, Training for doctoral theses supervisors was piloted in Finnish. In 2015-2016 it is organised again in English. Training in IPR has been organised in co-operation with IPR University Center. A Course on Research Career and Research Funding has been offered since autumn 2014 by UTU Research Services. A Mentoring Programme for doctoral candidates is piloted in 2016. University Teachers' Pedagogical Support (UTUPS) online learning environment will be published in March 2016 for all university teachers and doctoral candidates who want to develop their teaching. More modules will be opened during the year 2016.</b></p> |

**RESEARCHERS WITHOUT AN EMPLOYMENT RELATIONSHIP TO UTU ALSO HAVE ACCESS TO IN-HOUSE TRAINING ORGANISED FOR THE UNIVERSITY EMPLOYEES.**

Some of the training courses and events are specifically targeted for international members of the university community (Welcome to UTU, Finnish for Beginners), including grant researchers and visiting scholars. Researchers not employed by UTU can also attend other in-house training events if there are spaces available. In addition, training materials are available on the Intranet. An increasing number of training sessions are recorded on video and made available via the Intranet.

Human Resources/HR Development  
Educational Development  
International Office  
units of the University Services  
University Communications

2013-2015  
continuous development  
based on feedback, expressed and anticipated  
needs

Continues as planned.  
*Welcome to UTU* orientation organised 2-3 times a year, Finnish for Beginners I - II twice a year.  
Grant researchers have been able to attend most training sessions. Training material and recorded sessions are also available on the Intranet.  
Professional group coaching in time management and career planning has been offered for early stage researchers since 2015.