

GAP Analysis (Charter and Code Checklist)

Case number: 2018NO350695

Name Organisation under review: University of Bergen

Organisation's contact details: Muséplassen 2, Bergen

Date endorsement charter and code: 05/11/2018

GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

- **Status** : to what extent does this organisation meet the following principles?
- **Implementation (++, +/-, -/+, --)** :
 - ++ fully implemented
 - +/- almost but not fully implemented
 - -/+ partially implemented
 - -- insufficiently implemented
- **GAP** : In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation.
- **Implementation impediments** : If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.
- **Initiatives undertaken/new proposals** : If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

Status

Ethical and Professional Aspects

Status

1. Research freedom

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on research freedom:</p> <p>1. The Universities and University Colleges Act (link) Section 1-5, promotes and protects professional freedom.</p> <p>Institutional regulations on research freedom:</p> <p>2. Ten ethical principles for the University of Bergen (link) § 1: "Creativity is an important precondition for scientific progress. This requires academic staff to have great freedom to design their own work tasks, as required by the position. This freedom is, nonetheless, not absolute, and it is first and foremost the academic staff's responsibility to exercise this creativity in a way that serves the interests of the academic discipline, the institution and society in general. Academic staff thus have the freedom to choose their own research topics, hypotheses, sources and methodology. They have the freedom - and responsibility - to communicate the results of their academic activities, via publication at their own choice, in teaching or by other means."</p> <p>3. Regulation on handling of employees' rights to the results of work and research at UiB (link)</p> <p>4. UiB's Strategy for 2016-2022 (link)</p> | |

Status

2. Ethical principles

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------|----------------------------------|--------------------------------------|
|----------------|----------------------------------|--------------------------------------|

Status

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--------------------------------------|
| ++ fully implemented | <p data-bbox="587 405 1085 510">UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p data-bbox="587 562 1129 589">National regulations on ethical principles:</p> <ol data-bbox="587 600 1133 1518" style="list-style-type: none"><li data-bbox="587 600 1133 779">1. The Research Ethics Act (link) has the objective of strengthening the research ethical work in Norwegian research by establishing by law the responsibility of researchers and research institutions.<li data-bbox="587 790 1133 936">2. The Norwegian Health and Research Act (link) provides the framework for medical and health research on humans, human biological material and/or health data.<li data-bbox="587 947 1133 1283">3. The Norwegian Biotechnology Act (link) ensures that medical use of biotechnology is utilized for the good of people in accordance with principles of respect for human dignity, human rights and personal integrity and without discrimination on the basis of hereditary qualities, based on the ethical norms embodied in our western cultural heritage.<li data-bbox="587 1294 1133 1518">4. These Acts give mandates to the Norwegian National Research Ethics Committees (link), the Regional Research Ethics Committees (REC) (link) and the National Commission for the Investigation of Research Misconduct (link). <p data-bbox="587 1570 1034 1637">Institutional regulations on ethical principles:</p> <ol data-bbox="587 1648 1133 2056" style="list-style-type: none"><li data-bbox="587 1648 1133 2056">5. Ten ethical principles for the University of Bergen (link) § 2: "Academic competence and professional reputation must be used for purposes which are compatible with the research communities' norms for good research practice. Quality and quality assurance of research results and teaching are not only in the employee's own interest, but are also the basis for the institution's reputation. The institution's name may not be used in a way that might damage or diminish | |

Status

Implementation

GAP / Implementation impediments

**Initiatives
undertaken/new
proposals**

confidence in its academic activities - or raise any justified doubts concerning its academic responsibility. Researchers must be aware of, and - when necessary - account for any limitations in their own competence and academic perspective."

Status

3. Professional responsibility

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------|----------------------------------|--|
|----------------|----------------------------------|--|

Status

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--|
| ++ fully implemented | <p data-bbox="587 398 1037 660">UiB already fulfills the principle by practicing in accordance with national and institutional regulations. It is a goal to further develop the institution's practice in this area through new measures in the Action Plan.</p> <p data-bbox="587 712 1037 779">National regulations on professional responsibility:</p> <ol data-bbox="587 788 1037 1361" style="list-style-type: none"><li data-bbox="587 788 1037 855">1. The Universities and University Colleges Act (link). Universities have a responsibility to society with respect to dissemination of results of research.<li data-bbox="587 981 1037 1048">2. Patent act (link) regulates intellectual property rights.<li data-bbox="587 1057 1037 1169">3. The Copyright Act (link) regulates copyright (text, audio, images), including citation.<li data-bbox="587 1178 1037 1361">4. The Health and Research Act (link), Research Ethics Committees (REC) (link) and The Personal Data Act (NSD) (link) regulates approval of research projects. <p data-bbox="587 1406 1037 1473">Institutional regulations on professional responsibility:</p> <ol data-bbox="587 1482 1037 2056" style="list-style-type: none"><li data-bbox="587 1482 1037 2056">5. Ten ethical principles for the University of Bergen (link) §§ 2 and 3. § 3: "Academic work follows and respects the research community's standards for good research practice, as drawn up by the Norwegian National Research Ethics Committees. Questions of independence, academic integrity and verifiability are of key importance. Employees should arrange their activities and work in a way that ensures professional integrity, and which - when necessary - allows for external documentation that this is also observed. The recognition that | <p data-bbox="1088 398 1402 622">Proposed remedial measures in UiB's action plan for professional responsibility (positive deviation):</p> <p data-bbox="1088 631 1402 1124">Scientists shall follow basic ethical principles and have a professional responsibility for socially relevant research and the protection of research results. Researchers at UiB exercise great professional responsibility in accordance with the requirements.</p> <p data-bbox="1088 1169 1402 1630">UiB participates in the collaborative project "Research integrity in Norway (RINO)" (link), which is intended to survey the prevalence of dishonest and debatable research practices at Norwegian universities, university colleges and research institutions.</p> <p data-bbox="1088 1675 1402 2056">The project provides new knowledge that may be used in UiB's Action Plan, or subsequent revisions. For example, consideration should be given to strengthening ethics training for supervisors, and how</p> |

Status

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------|--|--|
| | <p>reality is complex, that the individual subjects have limitations, and that academic knowledge is also uncertain, should be a central aspect of all communication."</p> <p>6. Regulation on handling of employees' rights to the results of work and research at UiB (link).</p> <p>7. Action plan for cooperation with working life 2018-2022 (link) contains UiB's priority areas for socially relevant research.</p> | <p>researchers should report misconduct.</p> |

4. Professional attitude

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulation on professional attitude:</p> <ol style="list-style-type: none">1. Norwegian Social Science Data Services (NSD) (link), privacy protection solutions that help research to comply with the GDPR.2. Regional Committees for Medical and Health Research Ethics (REK) (link), shall give preliminary approval to medical and health research projects, general research biobanks and exemption from the confidentiality obligation for other types of research.3. The Norwegian National Research Ethics Committees (link). | |

Status

5. Contractual and legal obligations

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on contractual and legal obligations:</p> <ol style="list-style-type: none">1. The Norwegian Universities and University Colleges Act (link) contains rules on academic freedom and the application of scientific and artistic methods and outcomes, both in the teaching of students in their own activities at large and in public administration, cultural life and business.2. The Norwegian Civil Servants' Act (link) regulates the employment conditions for employees in the university sector.3. The Personnel Handbook for State Employees (link) contains:<ul style="list-style-type: none">- personnel policy guidance and priorities- an overview and interpretation of key laws, collective agreements and administrative provisions on appointment, pay- and working conditions, termination of employment and co-determination in state employment conditions.- the Ministry's principle decisions and guidelines drawn up on the basis of practice- templates and guides. <p>Institutional regulations on contractual and legal obligations:</p> <ol style="list-style-type: none">4. Regulation on management of employees' rights to the results of work and research at the University of Bergen (link) | |

Status

6. Accountability

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on accountability: 1. The Norwegian Research Ethics Act (link) Section 4 applies to researchers' duty of care to ensure that all research is done in accordance with recognised research ethical norms. This also applies during preparations for research, reporting of research and other research-related activities.</p> <p>Institutional regulations on accountability: 2. Ten ethical principles for the University of Bergen (link) § 6: The university has the objective that interdisciplinary collaboration takes place in order to develop the institution. Research cooperation seeks loyalty and openness in relation to colleagues and governing bodies. The individual should consider carefully whether decisions and initiatives in his or her own interests are compatible with the preconditions for cooperation with others. The individual must also consider issues relating to confidentiality in the shared interests of collaboration, but so that this is clearly flagged if a project or research activity appears to be in conflict with the relevant ethical research guidelines. It is also part of academic tradition to promote a culture of collaboration in which academic disagreement can be expressed freely without being perceived as disloyalty.</p> | |

Status

7. Good practice in research

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on good research practices:</p> <ol style="list-style-type: none"><li data-bbox="587 759 1118 1093">1. The Norwegian Working Environment Act (link) shall ensure a working environment which provides the basis for a health promoting and meaningful work situation, which provides complete protection against physical and psychological harm, and with a standard of welfare that is at all times consistent with the technological and social development in society.<li data-bbox="587 1106 1118 1211">2. The Norwegian Health and Research Act (link) Chapter 7 regulates the storage and processing of health data.<li data-bbox="587 1225 1098 1252">3. The Norwegian Personal Data Act (link) | |

Status

8. Dissemination, exploitation of results

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>Institutional regulations on the dissemination and exploitation of results:</p> <ol style="list-style-type: none"><li data-bbox="587 792 1046 869">1. The university's open access policy (link) UiB's policy for open access to research results was adopted in 2012. The University's policy and arrangements with Open Access (link).<li data-bbox="587 1025 999 1102">2. Action plan for cooperation with working life (link) UiB's action plan for cooperation with working life 2018-2022 contains priority areas for research, innovation, dissemination and communication.<li data-bbox="587 1258 1086 1366">3. BTO (link) works to develop innovation and commercialisation of research in the Bergen region | |

Status

9. Public engagement

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------|----------------------------------|--|
|----------------|----------------------------------|--|

Status

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>Institutional regulations on public engagement:</p> <p>1. The Action plan for communication (link) containing priority areas for UiB to be an international research university based on academic freedom, critical thinking and curiosity-driven research. Our expertise shall be of benefit to society and science. Knowledge shall be democratized, and when social decisions are taken, UiB's expertise shall be recognized and utilized.</p> <p>2. Action Plan for cooperation with working life (link) which contains the priority areas for UiB to contribute to society and a changing working life that demands complex solutions, a solid knowledge base and interdisciplinary perspectives. Through research of high international quality, basic education, continuing-and further education and cluster collaboration, UiB equips our candidates so that they can contribute relevant expertise and innovation to the society of today and the future.</p> <p>3. Ten ethical principles for the University of Bergen (link) § 5 :</p> <p>The general public's confidence in the university is for the common good. University staff must practice transparency both externally and internally in their own activities where this is necessary to ensure the credibility and reputation of the institution, the academic environment and the individual. Transparency is also a willingness to describe external work or other external contacts in response to reasonable queries. In order to clarify any potential conflicts of interest, in all publications from the university the sources of financing and any possible ownership should be disclosed.</p> | |

Status

10. Non discrimination

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|---|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations. It is a goal to further develop the institution's practice in this area through new measures in the Action Plan.</p> <p>National regulations on non-discrimination:</p> <ol style="list-style-type: none">1. Act relating to equality and a prohibition against discrimination (Equality and Anti-Discrimination Act) (link)2. Act relating to the Equality and Anti-Discrimination Ombud and the Anti-Discrimination Tribunal (Equality and Anti-Discrimination Ombud Act) (link) <p>Institutional regulations on non-discrimination:</p> <ol style="list-style-type: none">3. Diversity and inclusion Action Plan (link). UiB is actively engaged in promoting equality and diversity. No-one shall experience discrimination on the basis of gender, ethnicity, national origin, language, religion and beliefs, functional abilities, sexual orientation, gender identity or age. | <p>Proposed remedial measures in UiB's action plan for non-discrimination (positive deviation):</p> <p>Employers of researchers shall not discriminate against researchers in any way on the basis of gender, age, ethnicity, national or social origin, religion or belief, sexual orientation, language, disability, political convictions or social or economic conditions.</p> <p>UiB is actively engaged in promoting equality and diversity. UiB's action plan for diversity and inclusion sets requirements that no one shall experience discrimination. In accordance with the regulations, the diversity perspective is to be safeguarded in announcements, but there are still few scientists being recruited from disadvantaged groups.</p> |

Status

11. Evaluation/ appraisal systems

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | UiB already fulfills the principle by practicing in accordance with national and institutional regulations | |
| | National regulations on assessment systems: | |
| | 1. Regulations concerning appointment and promotion to teaching and research posts (link), Chapter 2 contains the procedure and criteria for improving evaluation committees for promotions in teaching and research positions. | |
| | National regulations on assessment systems: | |
| | 2. Regulations for the degree of Philosophiae Doctor (PhD) at the University of Bergen (link) | |
| | 3. At UiB, annual staff interviews are a step in targeted management and employee development. Staff interviews shall be linked to the organisation's strategic plans and should be a real and results-oriented management tool to achieve established goals. The interview is an important arena for clarifying expectations to achievements, providing mutual feedback and insight into each other's work situation and addressing the working environment in the workplace. The interview should further be used to uncover competence needs, change and development. | |

Recruitment and Selection - please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-based Recruitment included in a separate section, which focuses on the operationalization of these principles.

Status

12. Recruitment

Implementation

GAP / Implementation impediments

**Initiatives
undertaken/new
proposals**

Status

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p data-bbox="587 405 1082 510">UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p data-bbox="587 562 1054 589">National regulations on recruitment:</p> <ol data-bbox="587 600 1126 1671" style="list-style-type: none"><li data-bbox="587 600 1126 857">1. Regulations on conditions of employment for posts such as postdoctoral candidate, research fellow, research assistant and specialist candidate (link), that ensure that the standards for the intake of researchers, especially in the early stages of their careers are clearly specified.<li data-bbox="587 869 1102 1126">2. Regulation concerning appointment and promotion to teaching and research posts (link). The regulation establishes general criteria for employment in teaching and research positions at the institutions under the Act on Universities and University Colleges.<li data-bbox="587 1137 1126 1671">3. The Personnel Handbook for State Employees (link) Chapter 1 contains guidelines for the State as employer. To safeguard disadvantaged groups, the following is included in all job announcements: «The state labour force shall reflect the diversity of Norwegian society to the greatest extent possible. Age and gender balance among employees is therefore a goal. It is also a goal to recruit people with immigrant backgrounds. People with immigrant backgrounds and people with disabilities are encouraged to apply for the position.» <p data-bbox="587 1720 1102 1747">Institutional regulations on recruitment:</p> <ol data-bbox="587 1758 1126 1977" style="list-style-type: none"><li data-bbox="587 1758 1126 1863">4. Regulations for the degree of Philosophiae Doctor (PhD) at the University of Bergen (link).<li data-bbox="587 1874 1102 1901">5. Diversity and Inclusion Action Plan (link)<li data-bbox="587 1912 1043 1977">6. Templates for announcements with standardized admission criteria. | |

Status

13. Recruitment (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on recruitment:</p> <ol style="list-style-type: none">1. The Civil Servants' Act (link) Chapter 2 applies to recruitment procedures from the announcement of positions, recommendations to employment.2. The Personnel Handbook for State Employees (link) regulates employment and termination in state positions. <p>Institutional regulations on recruitment:</p> <ol style="list-style-type: none">3. Regulations for appointments to academic positions and academic/administrative management positions (link) have rules regarding general administrative procedures for the employment procedure at UiB.4. UiB's action plan for EU-funded focus areas 2016-2022 (link) is aimed at offering its researchers an effective and competent support unit for applications, contracts and project operations. <p>Page 21 of the survey shows UiB researchers' opinion of the announcement text.</p> | |

Status

14. Selection (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--|
| ++ fully implemented | <p data-bbox="587 488 983 786">UiB already fulfills the principle by practicing in accordance with national and institutional regulations. It is a goal to further develop the institution's practice in this area through new measures in the Action Plan.</p> <p data-bbox="587 835 890 907">National regulations on selection:</p> <p data-bbox="587 913 983 1099">1. The Universities and University Colleges Act (link) Section 6-3 regulates the composition of expert evaluation committees.</p> <p data-bbox="587 1149 938 1220">Institutional regulations on selection:</p> <p data-bbox="587 1227 983 1478">2. Regulations for appointments to academic posts and academic/administrative management positions (link) Section 6.2.2 set requirements for the composition of expert evaluation committees.</p> | <p data-bbox="1023 528 1390 674">Proposed remedial measures in UiB's action plan for selection (positive deviation):</p> <p data-bbox="1023 680 1390 943">The selection committees shall be composed of persons with different expertise and competence, have good gender balance and include foreign persons. Members must have adequate training.</p> <p data-bbox="1023 992 1390 1442">UiB meets the requirements through national and institutional regulations. To strengthen uniform routines, it should be considered, as measures in the action plan, to develop joint E-learning arrangements for evaluation committees. It is important to have revised templates for interviews and reference surveys.</p> |

Status

15. Transparency (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|-------------------------------|--|---|
| +/- almost but not fully i... | <p data-bbox="587 795 788 943">UiB has almost, but not fully implemented the principle:</p> <p data-bbox="587 992 788 1171">Institutional regulations on openness: Handbook for leaders (intranet)</p> | <p data-bbox="847 526 1385 864">Proposed remedial measures in UiB's action plan on transparency: There shall be transparency towards applicants for research positions in the institution's recruitment procedures and selection criteria. Feedback on the strengths and weaknesses of the application should also be given following the selection process.</p> <p data-bbox="847 913 1385 1442">The principle must be seen in the context of questions 20 and 21 of the OTM-R checklist, which deals with information and feedback to applicants during the hiring phase. UiB has good procedures for transparency during the announcement and selection phase, but is not satisfied with our practice in relation to the requirement for feedback to applicants on strengths and weaknesses following the selection process. This discrepancy should be considered in conjunction with the OTM-R checklist, and possibly become a new OTM-R measure in the action plan.</p> |

Status

16. Judging merit (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--------------------------------------|
| ++ fully implemented | <p data-bbox="587 524 1102 629">UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p data-bbox="587 678 1023 745">National regulations on suitability assessment:</p> <ol data-bbox="587 757 1102 1093" style="list-style-type: none"><li data-bbox="587 757 1102 862">1. The Act on Universities and University Colleges (link) Section 6-3 which regulates the employment of researchers.<li data-bbox="587 873 1102 1093">2. The Civil Servants' Act (link) Section 3 , which contains the qualification principle, after which the emphasis should be placed on education, experience and personal suitability, compared with the eligibility requirements set out in the announcement. <p data-bbox="587 1142 1102 1209">Institutional regulations on assessment of suitability:</p> <ol data-bbox="587 1220 1102 1404" style="list-style-type: none"><li data-bbox="587 1220 1102 1404">3. Regulations for appointment to scientific positions and academic management positions (link) Section 6.3.2 governing the assessment of the personal suitability of applicants. | |

Status

17. Variations in the chronological order of CVs (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|---|
| ++ fully implemented | <p data-bbox="587 488 970 786">UiB already fulfills the principle by practicing in accordance with national and institutional regulations. It is a goal to further develop the institution's practice in this area through new measures in the Action Plan:</p> <p data-bbox="587 835 970 1016">Pages 18 and 19 of the survey show researchers' views on the consequences of CV variations for the assessment of a research career.</p> | <p data-bbox="1010 506 1374 689">Proposed remedial measures in UiB's action plan on variations in CVs' chronological structure (positive deviation):</p> <p data-bbox="1010 701 1374 999">Career interruptions or variations in CVs' chronological structure should be regarded as a potentially valuable contribution to researchers' professional development towards a multi-dimensional career path.</p> |

Status

18. Recognition of mobility experience (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>Institutional regulations on recognition of mobility experiences:</p> <p>1. UiB's action plan for internationalization 2016-2022 (link) has as a priority area to facilitate professionally, practically and economically for longer stays abroad and participation in international research cooperation for PhD candidates and post-doctoral fellows.</p> <p>Pages 12-15 of the survey show researchers' perception of how internal and external applicants are evaluated in the hiring process.</p> | |

Status

19. Recognition of qualifications (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on approval of qualifications:</p> <ol style="list-style-type: none">1. The Civil Servants' Act (link) Section 3 contains the eligibility principle that the best-qualified applicant should be appointed, following an assessment of education, experience and personal suitability, compared with the eligibility requirements set out in the announcement.2. The University and University College Act (link) Section 6-3 regulates the employment process in research positions3. Appointment and promotion to teaching and research posts (link)4. The Norwegian Association of Higher Education Institutions (UHR) (link) prepares subject specific criteria which are distributed to UiB's evaluation committees. <p>Institutional regulations on approval of qualifications:</p> <ol style="list-style-type: none">5. Regulations for appointments to scientific posts and academic/administrative management posts (link) <p>UiB regulations stipulate that the evaluation should be at the international level and that there should be foreign representation in the expert committee.</p> | |

Status

20. Seniority (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on seniority:</p> <ol style="list-style-type: none">1. Appointment and promotion to teaching and research posts (link) which sets out criteria for appointment to teaching and research posts.2. Employment of post-doctoral research fellow, research fellow, research assistant and resident (link), which sets out employment conditions for posts such as post-doctoral fellow, PhD candidate, research assistant and specialist candidate.3. The Working Environment Act (link), Section 13-1 which stipulates that discrimination due to age is prohibited. | |

Status

21. Postdoctoral appointments (Code)

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|---|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations. It is a goal to further develop the institution's practice in this area through new measures in the Action Plan:</p> <p>National regulations on postdoctoral positions:</p> <ol style="list-style-type: none">1. Employment of post-doctoral research fellow, research fellow, research assistant and resident (link), that stipulate employment conditions for positions such as postdoctoral positions. | <p>UiB has a regulatory framework that includes job categories for researchers and post-doctoral research fellows, but experience shows that these are practiced differently in the faculties. Therefore, an overview is needed of the current framework and regulations for the use of these categories.</p> |

Working Conditions and Social Security

Status

22. Recognition of the profession

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p data-bbox="587 524 1086 629">UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p data-bbox="587 678 1086 745">National regulations on recognition of the profession:</p> <ol data-bbox="587 757 1086 902" style="list-style-type: none"><li data-bbox="587 757 1086 902">1. The Universities and University Colleges Act (link) Section 1-5, which deals with the freedom and responsibilities of researchers. <p data-bbox="587 952 1086 1019">Institutional regulations on recognition of the profession:</p> <ol data-bbox="587 1030 1086 1093" style="list-style-type: none"><li data-bbox="587 1030 1086 1093">2. Ten ethical principles for the University of Bergen (link), Section 1. | |

Status

23. Research environment

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p data-bbox="587 524 1086 629">UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p data-bbox="587 678 1011 745">National regulations on research environment:</p> <ol data-bbox="587 757 1086 898" style="list-style-type: none"><li data-bbox="587 757 1086 898">1. Act relating to working environment, working hours and employment protection, etc. (link), Chapter 4, about requirements for the working environment. <p data-bbox="587 949 1059 1016">Institutional regulations on research environment:</p> <ol data-bbox="587 1028 1086 1252" style="list-style-type: none"><li data-bbox="587 1028 884 1055">2. HSE-Action Plan (link)<li data-bbox="587 1066 1086 1252">3. The action plan for research infrastructure (link) contains priority areas for UiB to have common and larger research infrastructures that contribute to high-quality research. | |

Status

24. Working conditions

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------|--|--------------------------------------|
|----------------|--|--------------------------------------|

Status

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--|
| ++ fully implemented | <p data-bbox="582 392 853 896">UiB already fulfills the principle by practicing in accordance with national and institutional regulations. It is a goal to further develop the institution's practice in this area through new measures in the Action Plan:</p> <p data-bbox="582 929 853 1400">National regulations on working conditions: 1. Regulations concerning amendments to the terms and conditions of employment for the posts of post-doctoral research fellow, research assistant and resident (link).</p> <p data-bbox="582 1433 853 2056">Institutional regulations on working conditions: 2. UiB's action plan for EU-funded focus areas 2016-2022 (link) has a scope for personnel policy and career development to be in accordance with C&C. 3. The main agreement for civil service employees with an Adaptation Agreement for UiB</p> | <p data-bbox="885 392 1380 515">Proposed remedial measures in UiB's action plan for working conditions (positive deviation):</p> <p data-bbox="885 548 1380 1131">In UiB's process for affiliation to C&C, the term "HR in research" is used in accordance with the primary purpose of C&C's Principle 24 on working conditions; to ensure that researchers' working conditions provide sufficient flexibility to achieve good research results. Through existing national legislation, collective agreements, and institutional economic/administrative arrangements, UIB strives for working conditions that make it possible to combine family life with a research career. UiB meets the C&C requirements for researchers' working conditions.</p> <p data-bbox="885 1164 1380 1904">Increasing participation in externally funded project work and international networks allows research positions to have a clearer foundation than is the case in today's position structure in the university sector. Therefore, research positions should be further regulated in guidelines and employment agreements for international positions and externally funded projects. Application writing and operation of projects are time-consuming, and are mainly performed by the researchers themselves. Administrative support for UiB's BOA activities should therefore be extended, including further development of the BOA team. Consideration should be given to developing measures in the action plan within these areas.</p> |

Status

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------|--|--------------------------------------|
| | <p>(link) Chapter 6 deals with the collective agreement on personnel policy in the enterprise.</p> <p>4. Gender equality action plan (link)</p> <p>5. Diversity and inclusion action plan (link)</p> <p>6. Instructions for registering hours and overtime for UiB employees (link)</p> <p>7. Guidelines for the allocation of research leave and special time arrangements for R & D initiatives (link), contains UiB's guidelines for the award of a research term and special time arrangements for R & D initiatives</p> <p>8. Schemes for research fellows relating to illness or duty of care (intranet)</p> | |

Status

25. Stability and permanence of employment

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on stable and long-term employment:</p> <ol style="list-style-type: none">1. The Civil Servants' Act (link) Section 9 , which contains regulations for permanent and temporary employment.2. Regulations of the Civil Servants' Act Section 3 (link). | |

Status

26. Funding and salaries

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations. It is a goal to further develop the institution's practice in this area through new measures in the Action Plan:</p> <p>National regulations on working conditions:</p> <ol style="list-style-type: none">1. The Norwegian National Insurance Act (link) is intended to provide financial security by securing income and compensating for special expenses in the case of unemployment, maternity, illness, injury and disability, etc.2. The Basic Collective Agreement for the Civil Service (link) which comprises agreements between the government and employees' organisations on pay and working conditions for civil service employees.3. The Norwegian Public Service Pension Fund (link) is Norway's main provider of public occupational pensions, and in addition provides housing loans and insurance schemes. | <p>Proposed remedial measures in UiB's action plan on financing and pay (positive deviation):</p> <p>Researchers' employees shall ensure that all scientists are offered fair and attractive terms with respect to financing and/or pay, in accordance with their legal status, results and qualifications and/or responsibilities.</p> <p>The civil service pay system is developing in the direction of more individual pay determination locally in the institutions, but it is still important that there is openness on this subject. General pay development must be seen in conjunction with individual pay compensation in connection with promotion on the career ladder, and with the allocation of prestigious research projects etc.</p> <p>Pay is one of the means to ensure attractive working conditions for researchers, and should be seen in conjunction with remedial measures in the action plan.</p> |

Status

27. Gender balance

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--|
| ++ fully implemented | <p data-bbox="587 577 916 958">UiB already fulfills the principle by practicing in accordance with national and institutional regulations. It is a goal to further develop the institution's practice in this area through new measures in the Action Plan.</p> <p data-bbox="587 1010 890 1077">National regulations on gender balance:</p> <p data-bbox="587 1088 884 1189">1. Act relating to equality and a prohibition against discrimination (link)</p> <p data-bbox="587 1240 895 1308">Institutional regulations on gender balance</p> <p data-bbox="587 1319 890 1384">2. Gender Equality Action Plan (link)</p> | <p data-bbox="948 488 1362 589">Proposed remedial measures in UiB's action plan for gender balance (positive deviation):</p> <p data-bbox="948 640 1378 936">Employers shall strive to have a representative gender balance in personnel at all levels, by practicing equality policies in recruitment and in subsequent career stages, and ensuring equal treatment through good gender balance in selection- and evaluation committees.</p> <p data-bbox="948 987 1390 1478">UiB has a long tradition of equality policy in research positions and meets C&C requirements for gender balance. In spite of this, UiB acknowledges that there is a need to further develop measures that provide gender balance and equal opportunities for women on the career path. Measures to accomplish this should be incorporated into the action plan, through mentoring and promotion courses.</p> |

Status

28. Career development

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|---------------------------|---|---|
| -/+ partially implemented | <p data-bbox="587 855 855 1151">UiB has partly implemented the principle, and will develop the institution's practice in this area through new measures in the Action Plan:</p> <p data-bbox="587 1200 855 1617">Institutional regulations on career development: UiB's action plan for EU-funded focus areas 2016-2022 (link) has a scope for personnel policy and career development focus area to be in accordance with C&C.</p> | <p data-bbox="903 524 1382 631">Proposal for remedial measures in UiB's action plan on career development:</p> <p data-bbox="903 680 1382 900">The strengthening of researchers' career development is the key development area for UiB in the initial implementation phase. The UiB's questionnaire on career development shows the need for action.</p> <p data-bbox="903 949 1382 1482">Traditionally, researcher education at UiB has been directed towards a career in academia, whereas there is no particular system for researcher careers outside academia. The extended social responsibility for educating scientists for administration, business and industry etc. entails that UiB must adapt researcher training and career guidance to cover the various disciplines outside academia. Training and responsibility for career development must be defined for career paths within and outside of academia.</p> <p data-bbox="903 1532 1382 1827">Various local career development initiatives are in use at UiB, these should be surveyed with a view to preparing a joint policy document, initiatives, good guidelines and advice on career development for all categories of scientific positions within academia.</p> <p data-bbox="903 1877 1382 1944">UiB should start a pilot project with Reflex as a career development tool.</p> |

Status

29. Value of mobility

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | UiB already fulfills the principle by practicing in accordance with national and institutional regulations: | |
| | Institutional regulations on the value of mobility: | |
| | <ol style="list-style-type: none">1. Sabbatical (intranet)2. Financial support stays abroad (link)3. Mobility (link)4. International HR and mobility (link)5. The RCN policy 2016-2020 (link)6. UiB's Action plan for internationalization 2016-2022 (link) emphasizes the exchange of ideas and knowledge through mutually binding cooperation across borders. The mobility of students and researchers, as well as the integration of an international, intercultural and global dimension in programmes of study and research, are key factors.7. The priority area for UiB's action plan for cooperation with working life 2018-2022 (link) is to make UiB's knowledge production and expertise more accessible. It will be easier for working life to derive advantage of our research and make researchers more conscious of how their expertise can be used. Such cooperation will also stimulate the participation of working life in research projects. | |

Status

30. Access to career advice

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|---------------------------|---|---|
| -/+ partially implemented | <p>UiB has partly implemented the principle, and will develop the institution's practice in this area through new measures in the Action Plan:</p> <p>Institutional regulations on access to career counselling: Staff interviews (intranet) (link)</p> | <p>Proposal for remedial measures in UiB's action plan on access to career counselling:</p> <p>For all research groups, UiB's "Staff Interviews" scheme is meant to be a key tool for counselling and development. However, UiB's questionnaire shows that these intentions are not followed up equally well for all position groups in the faculties, both in terms of the frequency of staff interviews and their contents.</p> <p>This deviation necessitates the introduction of measures to increase the frequency and quality of staff interviews, including highlighting career development and counselling in the template for researchers, so that this will be given greater attention in the interview.</p> |

Status

31. Intellectual Property Rights

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National legislation on intellectual property rights:</p> <p>1. The Norwegian Act respecting employees' rights to inventions (link) governing the right to inventions by employees in public or private service.</p> <p>Institutional legislation on intellectual property rights:</p> <p>2. The IPR regulation (link). The purpose of this regulation is to clarify the extent of the university's right to use or exploit research and work results produced by university employees.</p> <p>3. The rights policy of the University of Bergen (link), the information page shows the rights policy of the University of Bergen.</p> | |

Status

32. Co-authorship

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|---|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>Institutional regulations on Institutional regulations on co-authorship: Ten ethical principles for the University of Bergen (link) § 7: The Vancouver recommendations must be observed concerning co-authorship within specific areas. These recommendations state that only active contributions to publications as described in the rules give entitlement to co-author status. Peer reviews by publishers or journal editors do not exempt the individual from ensuring that authorship according to these recommendations actually exists. In areas where the Vancouver recommendations are not practised, the authorship status must be reasonably indicated.</p> | |

Status

33. Teaching

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | UiB already fulfills the principle by practicing in accordance with national and institutional regulations: | |
| | National regulations on teaching: | |
| | 1. Regulations concerning the terms and conditions of employment for the posts of post-doctoral research fellow, research assistant and resident (link), governing teaching duties for these groups. | |
| | Institutional regulations on teaching: | |
| | 2. Action plan for quality in education (link) has as its priority area to ensure that PhD candidates with teaching duties are offered professional teacher training in line with other educators. As well as to clarify that time used for teaching development is an integral part of the teaching section of all scientific positions. It is an additional aim to equate teaching competence and teaching quality with research in respect of appointment, promotion and pay development. | |
| | 3. Rewarding Excellence in Education (link): "Rewarding Excellence in Education" is a reward system for teaching in UiB. | |

Status

34. Complains/ appeals

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on complaints:</p> <p>1. The Working Environment Act (link) Chapter 6 regulates the safety officer scheme aimed at ensuring that the enterprise is organised and maintained, and that work is conducted in such a way that it protects employees' safety, health and welfare.</p> <p>Institutional regulations on complaints:</p> <p>2. Ten ethical principles for the University of Bergen (link) § 10: The institution is responsible for facilitating bodies that make it possible to resolve ethical research conflicts of interest via an appeal board. Employees should loyally use - and normally accept the outcome of - such bodies, rather than maintaining or increasing the level of conflict within their academic environment.</p> <p>3. The research ethics committee (link)</p> <p>4. Guidelines for notification (whistleblowing) at UiB (link)</p> <p>5. Ethical guidelines for relations between supervisors and students or candidates at the University of Bergen (link)</p> <p>6. Guideline for conflict management (link): The guideline for the resolution of conflicts between employees on professional and administrative issues, as well as on the exercise of the employer's right to manage.</p> | |

Status

35. Participation in decision-making bodies

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>National regulations on participation in decision-making bodies:</p> <p>1. The Act on Universities and University Colleges (link), Section 9-3 stipulates that the University Board shall have members elected among employees in teaching and research positions</p> <p>Institutional regulations on participation in decision-making bodies:</p> <p>2. The regulations governing faculties' and departments' governing bodies (link) Section 2 stipulate that faculty boards shall have members elected by and among permanent and temporary employees in teaching and research positions. Section 13 stipulates that the department councils shall have members elected by and among permanent and temporary employees in teaching and research positions.</p> | |

Training and Development

Status

36. Relation with supervisors

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>Institutional regulations on the relationship with supervisors: Regulations for the degree of Philosophiae Doctor (PhD) at the University of Bergen (link), pursuant to Section 6-1 work on the PhD thesis shall be conducted under individual supervision, and the PhD candidate shall have regular contact with their supervisors and shall be included in an active research environment. The PhD candidate shall have the opportunity to have their thesis work discussed in seminars.</p> | |

Status

37. Supervision and managerial duties

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|-------------------------------|--|--|
| +/- almost but not fully i... | <p>UiB has almost, but not fully implemented the principle:</p> <p>Institutional regulations on supervision and management tasks:</p> <p>1. Ten ethical principles for the University of Bergen (link) Section 4 Academic supervision of young researchers should take place on a generous basis and without exaggerated protection of own academic interests, but nonetheless so that ownership of ideas and results is respected.</p> <p>2. Regulations for the degree of Philosophiae Doctor (PhD) at the University of Bergen (link), pursuant to section 6.1, the supervisor (s) shall have a PhD or equivalent professional competence in the field and be active researchers. The main supervisor has the main academic and administrative responsibility for the PhD education for the PhD candidate and shall be their primary contact on a daily basis. The main supervisor should normally be employed in the faculty to which the PhD candidate is admitted, or from institutions approved by the faculty.</p> | <p>Proposal for remedial measures in UiB's action plan on supervisory and management tasks:</p> <p>Senior researchers have a particular responsibility for supervision and research management. These tasks are to be carried out according to the highest professional standards, and be exercised in constructive and positive relationships with researchers so as to achieve effective knowledge transfer and good development of researchers' careers.</p> <p>In the report from UiB's questionnaire Pages 41-45, differences are shown in perceptions about the implementation of supervision. The deviation indicates that measures should be taken to strengthen the supervision.</p> |

Status

38. Continuing Professional Development

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|----------------------|--|--------------------------------------|
| ++ fully implemented | <p>UiB already fulfills the principle by practicing in accordance with national and institutional regulations:</p> <p>Institutional regulations on continuous professional development: Ten ethical principles for the University of Bergen (link) § 1 Creativity is an important precondition for scientific progress. This requires academic staff to have great freedom to design their own work tasks, as required by the position. This freedom is, nonetheless, not absolute, and it is first and foremost the academic staff's responsibility to exercise this creativity in a way that serves the interests of the academic discipline, the institution and society in general. Academic staff thus have the freedom to choose their own research topics, hypotheses, sources and methodology. They have the freedom - and responsibility - to communicate the results of their academic activities, via publication at their own choice, in teaching or by other means.</p> | |

Status

39. Access to research training and continuous development

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|---------------------------|--|---|
| -/+ partially implemented | UiB has partly implemented the principle, and will develop the institution's practice in this area through new measures in the Action Plan. | <p>Proposal for remedial measures in UiB's action plan for access to research training and continuous professional development: Employers' responsibilities consist in ensuring that all researchers are given the opportunity for professional and career development, regardless of position and stage in their research career.</p> <p>At UiB various courses are available that provide scientists with training in career development. Employees at UiB in postdoctoral- and assistant professor positions, for example, can apply for participation in "Momentum" (link), a career development programme for younger researchers.</p> <p>It is a long-term development effort to establish a common system for continuous professional development and competence, which includes guidance for researchers at the later stages of the career path.</p> |

Status

40. Supervision

| Implementation | GAP / Implementation impediments | Initiatives undertaken/new proposals |
|-------------------------------|---|---|
| +/- almost but not fully i... | <p>UiB has almost, but not fully implemented the principle:</p> <p>Institutional regulations on supervision:</p> <p>1. In accordance with UiB's action plan for doctoral programmes (link), doctoral programmes of high international quality are offered in all disciplines. New and experienced PhD supervisors will be offered opportunities to develop and further develop their expertise in doctoral supervision.</p> | <p>Proposed remedial measures in UiB's action plan on supervision:</p> <p>Employers should designate supervisors and establish supervision schemes for researchers. UiB has rules and a good system for supervision by both the main and assistant supervisors.</p> <p>UiB's questionnaire shows that it is important to follow up with training of supervisors, so that the institutional responsibility for supervision is met. Measures should therefore be considered for further development of the supervision system.</p> |