

Action Plan

**Case number:** 2018NO350695

**Name Organisation under review:** University of Bergen

**Organisation's contact details:** Muséplassen 2, Bergen

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

UiB's profile is described in the motto of the institution's strategy for 2019-2022: "Knowledge that shapes society" The strategy highlights our values, our strength and role in society, and how we prioritise these in further developing the university. The University of Bergen is an international research university in which all activity is based on academic freedom and curiosity-driven research. Our objective is to seek, develop and cultivate knowledge through outstanding research, education, dissemination and innovation. The faculties and the University Museum represent our most important knowledge arenas. Our remit is to profile the relevance of research and education. Exchanges of opinion and dissemination of knowledge are prerequisites for developing academia and a democratic society.

**2. Strengths and weaknesses of the current practice**

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

**Note:** Click on the name of each of the four thematic headings of the Charter and Code to open the editor and submit your answer.

**Ethical and professional aspects \***

**Strengths and Weaknesses (max. 800 words)**

UiB's gap analysis of the theme can be summarised in the following main areas:

**1) Research ethics and researcher integrity**

The discussions in Workshop I demonstrate that UiB fully complies with C&C principles in this area.

National and institutional regulations govern cases of possible violations of recognised research ethical norms, including plagiarism. UiB's Integrity Committee conducts the institutional processing of such cases, but the regulations allow for cases to be processed at lower levels in less serious cases if the procedural rules required by law are followed in their entirety. Within these guidelines, there is thus scope for the faculties to deal with their specific ethical challenges.

Ethics is a mandatory part of UiB's PhD education. At UiB, the Centre for Scientific Theory (SVT) has special responsibility for training in scientific theory and ethics in all research training programmes. The field is comprehensively governed by both national and UiB's regulations, which are published on special websites related to ethics.

The training in ethics at the start of a career must create increased awareness of the temptation to take "shortcuts" in research in the face of pressure and expectations to achieving results. The relationship between a research fellow and a supervisor must be clarified, so that it does not result in dependency, thus making it difficult for a research fellow to report ethical issues. More experienced researchers may also experience uncertainty if they are at risk of making mistakes in their research.

UiB participates in the collaborative project "Research integrity in Norway (RINO)", which is aimed at surveying the prevalence of dishonest and questionable research practices at Norwegian

universities, university colleges and research institutions. The project provides new knowledge that can be used in UiB's action on the supervisor role. For example, consideration should be given to strengthening ethics training for supervisors, and how researchers should report misconduct.

## 2) Researchers' Professional Responsibilities

Researchers at UiB maintain a high level of professional responsibility in accordance with the requirements of C&C.

Researchers' professional responsibilities cover various aspects. Researchers are primarily obliged to safeguard academic research freedom. No freedom is absolute, and researchers need to be aware of the borderline between legitimate and illegitimate governance. Researchers have a professional responsibility for socially relevant research and the protection of research results. They are committed to maintaining a professional attitude in research environments and in research projects. Furthermore, contractual and legal obligations must be adhered to.

Good research practices are achieved through secure working practices. Researchers should be familiar with the rules and procedures, but new requirements and directives create the need for continuous training and information. There is a delicate balance between what researchers themselves need to know, and what can best be solved by good communication channels with UiB's administrative and technical support apparatus. The need in this area can be covered through UiB's action plan for review and training in templates and procedures, as well as the action plan for administrative support.

## 3) Requirements for researchers' dissemination and exploitation of results.

C&C's requirements for researchers' dissemination and exploitation of results are fulfilled through UiB's practice in the field.

UiB has systems for the transfer of research results to other research environments and for commercialisation. There is varying knowledge on the part of researchers regarding the exploitation and commercialisation of research results, depending on how relevant economic exploitation is for the different disciplines. Communication plans related to research can ensure that the dissemination requirement is followed up. UiB has unique media and dissemination opportunities via its participation in "Media City Bergen", a professional knowledge hub and business park. Dissemination in connection with user participation in research is becoming an increasingly important perspective in all disciplines.

In the longer term, measures can be established to develop knowledge and a support apparatus in the field.

### Recruitment and selection \*

Strengths and Weaknesses (max. 800 words)

UiB's gap analysis of the theme can be summarised in the following main areas:

#### 1) Researchers' rights, recruitment procedure and suitability assessment of researchers.

Recruitment of researchers to UiB is subject to national and institutional regulations which meet the requirements of the recruitment procedure in C&C.

UiB has prepared special regulations for appointments to scientific posts and academic/administrative management positions that regulate in detail procedures for announcement, expert assessment, recommendation and employment. This essentially equates to the content requirements of the OTM-R system, but it is necessary for UiB to establish an overall OTM-R policy.

Public announcement of job vacancies is the starting point for transparency in UiB's recruitment process. In accordance with the regulations, the diversity perspective is to be safeguarded in the announcement, but there are still few scientists being recruited from disadvantaged groups. Transparency can be threatened by the desire to recruit named scientists into specially customised research positions.

UiB's regulations endeavour to create broadly composed expert committees to evaluate researchers' scientific qualifications. The expert committees are composed of international, national and internal members of both genders. In addition, suitability is also evaluated before recommendations are made for the best candidates. To ensure consistent procedures at UiB, measures are implemented for the preparation of training for assessment committees and auditing of templates for interviews and reference checks.

## 2) International recruitment and mobility in the labour market for scientists.

International recruitment and mobility provide UiB with a high level of academic qualifications and access to leading research networks. From a national perspective, it is important to maintain a certain balance in the composition of the research staff where there is a preponderance of either national or international staff. International recruitment and mobility in the labour market for researchers are highlighted in UiB's survey.

It can be difficult to assess the competence of foreign researchers. Language can also be a challenge in research groups, in communication with overarching management systems and daily life. UiB has a well-developed system for teaching Norwegian, which also includes spouses of foreign researchers. It is important to have a service centre for the reception and distribution of researchers.

## 3) Requirements for non-discrimination and gender balance.

UiB has a long tradition of equality policy in research positions and satisfies C&C requirements for gender balance. In spite of this, UiB acknowledges that there is a need to further develop knowledge and measures that achieve gender balance and equal opportunities for women on the career path. UiB does not allow any form of discrimination against researchers within the various categories of discrimination. A better platform of knowledge on discrimination and diversity should be developed to tackle this issue. A pilot project for promotion courses to scientific top positions should be developed into a permanent scheme for women. Furthermore, procedures for academic CVs and career interruption should be developed.

### Working conditions\*

#### Strengths and Weaknesses (max. 800 words)

UiB's gap analysis of the theme can be summarised in the following main areas:

#### 1) Career development tools and guidelines.

Various local career development initiatives implemented by UiB should be reviewed in the long term to establish an overarching and consistent career development tool. UiB wants to gain experience from the use of such tools as an element in taking a greater institutional grasp on career development. UiB will therefore initiate a pilot project to test out a career development tool.

The gap analysis shows that the university mainly provides advice on career development within academia, and to a lesser extent on career paths outside academia. UiB has initiated the work of developing a common career policy for younger researchers in academia. A committee has been established and will develop guidelines for the use of the position categories of post doctoral fellow, researcher and associate professor based on current regulations.

Performance assessment interviews are a suitable tool for career development and are used for all of UiB's employees. UiB will, therefore, renew the performance assessment interview as a tool. Work is underway to develop templates tailored to the R&D positions, to design information material and offer training courses for managers who conduct performance assessment interviews.

Counselling for career paths outside academia is further described under the theme "Training and Development".

## 2) Position structure at universities and university colleges viewed from a C&C perspective.

A national report was presented recently on a new position structure for universities and university colleges in Norway. The proposal builds on a comparison with the position structures in six European countries. Measures are proposed at all R1-R4 levels with working conditions familiar from the C&C principles. In Workshop III, the Working Group discussed the proposal and measures based on UiB's current position structure for researcher positions.

UiB's position structure must be adapted to cover the sector's social responsibility as a whole, and outline clear and distinct career paths in the sector for all employees in academic positions. Increasing participation in externally funded project work and international networks allows research positions to have a clearer foundation than is the case in the current position structure in the university sector. Measures are being initiated to prepare guidelines and employment agreements for staff engaged in international conditions of work and externally funded projects

## 3) "HR in Research" through C&C working conditions.

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. Many C&C principles apply to working conditions that can provide "good research results" and these are also well-regulated in national and institutional regulations and agreements at UiB.

Wages and salaries are one of the measures that ensure attractive working conditions for researchers. General wage development must be seen in conjunction with individual wage compensation in connection with promotion on the career ladder, and with the allocation of prestigious research projects etc. 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 transparency on this subject. In this respect, UiB wants to develop pay mechanisms to stimulate the quality of research and education and active dissemination of scientific activities

Stable and long-term employment is experienced by many researchers as just as important as pay when comparing different working conditions. C&C Principle 25 has the express aim that employment conditions must be such that they ensure that researchers' results are not undermined. In addition, reference is made to the EU directive on temporary employment. New Norwegian legislation related to temporary employment goes beyond the directive in limiting the use of temporary employment in the university and university college sector.

C&C stimulates investments in human resources and equipment to develop good research and training environments. Modern research requires the use of professional competence across the faculties. In the long term, UiB wants to develop meeting places and systems for interdisciplinary cooperation. Application writing and operation of projects are time-consuming, and are mainly performed by the researchers themselves. UiB will further develop administrative support for our BOA activities.

Training and development \*

Strengths and Weaknesses (max. 800 words)

UiB's gap analysis of the theme can be summarised in the following main areas:

#### 1) Career development within and outside of academia

Traditionally, researcher education at UiB has been directed towards a career in academia, whereas no particular system for researcher careers outside academia has been developed.

There is considerable drop out along the academic career path, and many of those who start on an academic career end up in positions outside academia. Consideration to the many who do not achieve an academic career is reason enough for UiB to provide career guidance for positions outside academia as part of research training. 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. Therefore, a special initiative should be taken to advise on career opportunities outside of academia. The initiative aims to develop services that can contribute to the awareness and visibility of career opportunities outside academia, and that also raises awareness by business and industry of the competence that PhD candidates possess.

#### 2) Academic supervision and career guidance

UiB's researcher training takes place through a well-regulated PhD programme, with academic supervision and follow-up that satisfy the C&C principles. The use and follow up of the postdoctoral positions is less regulated, and it is necessary to have awareness and methods of supervision to ensure problem solving en route. Researcher positions in externally funded projects are partly regulated in the project agreements, but otherwise the content of these positions is not specified in more detail in the regulations.

It is a long-term development effort to establish a common system of researcher career guidance, which also includes guidance for researchers at later stages in their career path.

For all research groups, the "Performance assessment interviews" scheme is meant to be a key tool for guidance and development. However, UiB's survey shows that these intentions are not being followed up equally well for all position groups in the faculties, both in terms of the frequency of staff interviews and their content.

The circumstances that the gap analysis has uncovered on professional guidance and career counselling are discussed and included in several of the measures to be implemented by UiB.

### 3) Characteristics of a good supervisor.

A good supervisor must have knowledge of the research field, have a genuine interest in supervision, take time to reflect on the supervisor task, take active contact with and give feedback to the person to be supervised.

UiB has rules and a good system for supervision by both the main and assistant supervisors. Important to follow up with the training of supervisors, so that the institutional responsibility for supervision is fulfilled. Each researcher has a responsibility for competence and career development, and this responsibility must also be stressed and followed up during supervision.

The organisation and contents of supervision must be adapted to the different subject areas. This adaptation must take place at the faculty level, but also in relation to those who have academic and personnel responsibilities for the individual researcher.

UiB has made it a priority area to develop the various aspects of the supervisor role.

### 3. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organization's Action Plan/HR Strategy dedicated webpage(s):

<http://www.yoursite.com>

Please fill in the list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis. The listed actions should be concise, but detailed enough for the assessors to evaluate the level of ambition, engagement and the expected implementation process. The institution should strive to provide a detailed plan, not just an enumeration of actions.

**Note:** Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings.

Proposed ACTIONS		
Action 1	GAP Principle (s)	Timing (at least by year's quarter/semester)
<p><b>Audit to establish a collective OTM-R policy</b>            UiB has a recruitment system in accordance with national regulations. During the processing of the Open Transparent and Merit Based Recruitment (OTM-R) checklist, the need was revealed to establish an OTM-R policy according to the EU's OTM-R package.</p>	(++) 12. Recruitment (++) 13. Recruitment (Code) (+ +) 14. Selection (Code) (+/-) 15. Transparency (Code)	V2020

Proposed ACTIONS	
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An audit is conducted to establish a collective OTM-R policy

Responsible Unit	Indicator (s)/Target (s)
HR	Adopted OTM-R policy

Action 2
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**Review of templates and procedures used in UiB's recruitment**

At UiB, there shall be transparency in respect of applicants for research positions in the institution's recruitment procedures and selection criteria. The gap analysis shows that the announcement texts must include a broader mention of professional development and career opportunities. It is also important to have revised templates for interviews and reference checks, as well as feedback to candidates during the recruitment process.

To reinforce uniform templates and procedures used in UiB's recruitment, in dialogue with the academic environments, measures are to be taken to:

- Develop common templates for announcement texts that include mention of professional development and career opportunities.
- Establish common procedures for feedback to candidates during the recruitment process, with a particular focus on practice related to feedback from interviews.

GAP Principle (s)	Timing (at least by year's quarter/semester)
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(+/-) 15. Transparency (Code) H2020

Responsible Unit	Indicator(s)/Target (s)
HR	New templates and procedures established

Action 3
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**Recruitment training**

The gap analysis points out the need for unified training for members of selection committees and employees involved in recruitment processes. In addition to common regulations, the training must also account for faculty differences.

Measures should be taken with the aim of:

- Establishing e-learning modules for recruitment processes

GAP Principle(s)	Timing (at least by year's quarter/semester)
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(++) 14. Selection (Code) H2021

Responsible Unit	Indicator(s)/Target(s)
HR and the faculties	Established training services

## Proposed ACTIONS

- Training for members of expert committees
- Training related to interviews and reference interviews

### Action 4

#### Recruitment management data

The review of the OTM-R checklist results in UiB initiating a measure to develop better tools and procedures for retrieving relevant management data and recruitment indicators.

#### GAP Principle(s)

(++) 12. Recruitment

#### Timing (at least by year's quarter/semester)

V2021

#### Responsible Unit

#### Indicator(s)/Target(s)

Established system for HR and the faculties management data on recruitment

### Action 5

#### Career development for younger researchers

The gap analysis shows that UiB does not have sufficient institutional schemes for career development for younger researchers. Various initiatives have been taken by the individual faculties. In addition, a programme has recently been established for younger researchers at UiB, the Momentum programme, and a special programme for research fellows, the TMS Starting Grant.

#### GAP Principle(s)

(++) 21. Postdoctoral appointments (Code) (-/+) 28. Career development (-/+) 39. Access to research training and continuous development

#### Timing (at least by year's quarter/semester)

V2020

#### Responsible Unit

#### Indicator(s)/Target(s)

FA and HR Established career policy

UiB has initiated the work of developing a common career policy for younger researchers at UiB. A committee has been established and will develop guidelines for the use of the position categories of post doctoral fellow, researcher and associate professor, based on current regulations. Furthermore, the committee will develop proposals for career development initiatives for the position categories at both the department and faculty levels. Recommendations will be presented to the University Board in the autumn of 2019.



Proposed ACTIONS		
<b>Action 6</b>	<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>
<p><b>Counselling on career opportunities outside academia</b></p> <p>The gap analysis shows that the university mainly provides counselling on career opportunities within academia, but to a lesser extent on the opportunities available outside of academia. In practice, a large proportion of the research fellow group will not have a further career path in academia and this group is therefore the main focus of this initiative.</p> <p>UiB wants to develop services that can contribute to the awareness and visibility of career opportunities outside academia, and that also raises awareness in business and industry of the competence that PhD candidates possess.</p> <p>1) During the implementation period, UiB will establish a career counselling service for research fellows.</p> <p>2) Each faculty will arrange career days that are aimed at research fellows and postdoctoral fellows.</p> <p>3) Each PhD programme will offer courses in transferable skills.</p>	(+/-) 30. Access to career advice (-/+ ) 39. Access to research training and continuous development	H2021
<b>Action 7</b>	<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>
<p><b>Trial with career development tools</b></p> <p>There are several career development tools that have been developed for the sector. UiB wants to gain experience from the use of such tools as an element in taking a greater institutional grasp on career development. UiB will therefore initiate a pilot project to test out a career development tool. The career development tool will be incorporated into the new templates for performance assessment interviews for the pilot units.</p>	(+/-) 28. Career development	H2020
	<b>Responsible Unit</b>	<b>Indicator(s)/Target(s)</b>
	HR, FA and the faculties	Established career counselling service, career days and courses in transferable skills
	<b>Responsible Unit</b>	<b>Indicator(s)/Target(s)</b>
	HR and the faculty (pilot)	Startup pilot project

Proposed ACTIONS		
<b>Action 8</b>	<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>
<p><b>Renewal of performance assessment interviews</b></p> <p>The gap analysis has revealed that there is a need to review procedures for performance assessment interviews. UiB will, therefore, renew the performance assessment interview as a tool. Work is underway to develop templates tailored to the R&amp;D positions, to design information material and training courses for managers who conduct performance assessment interviews. The obligation of managers to conduct performance assessment interviews must be clarified, and the organisation needs to be informed of what a performance assessment interview is and should be used for.</p>	<p>(++) 11. Evaluation/Appraisal Systems (-/+ 30. Access to career advice (-/+ 40. Supervision</p>	<p>H2020</p>
	<b>Responsible Unit</b>	<b>Indicator(s)/Target(s)</b>
	HR	Revised templates for performance assessment interviews
<b>Action 9</b>	<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>
<p><b>Pilot project for R&amp;D work related to own teaching</b></p> <p>In the survey various views were presented on how to facilitate the development of educational activities in the scientific positions.</p> <p>At the system level, projects are being worked on for documentation of educational competence and establishment of award schemes for education both centrally at UiB and in the faculties. In addition to enabling employees' development of their own teaching, there is also a need to work for more contact with business and industry and more interdisciplinary cooperation. Overall, these initiatives create a need for incentives and adaptation.</p> <p>UiB will establish a one-year project whereby some employees in a pilot project are allowed to use 10% of their teaching time for R&amp;D work related to their teaching, and establish support schemes associated with this. The work should be targeted towards the development of own teaching, more contact with business and</p>	<p>(++) 33. Teaching</p>	<p>V2021</p>
	<b>Responsible Unit</b>	<b>Indicator(s)/Target(s)</b>
	HR and FA	Completed pilot project

Proposed ACTIONS	
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industry in education and/or more interdisciplinary education.

Action 10	GAP Principle(s)	Timing (at least by year's quarter/semester)
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**Arena for development of the supervisor role**

The gap analysis has uncovered several circumstances that are related to supervision and the role of supervisor. There is a basis for strengthening the institutional system for supervision and the supervisor role, although several faculties have their own systems. In the workshops, proposals were made to establish arenas across the organisation to facilitate the exchange of experiences and also training of supervisors with the objective of strengthening this role at the institution.

(++) 3. Professional responsibility (+/-) 37. Supervision and managerial duties (+/-) 40. Supervision

H2020

UiB will follow this up by establishing an annual supervisor forum at the university, which will offer skills development in the supervisor area and discussions about the supervisor role. Such a network arena can prepare the ground for interdisciplinary work on various ethical, academic and personnel aspects of the supervisor role. This will also be an arena for following up and further developing the university's established guidelines for supervision.

Responsible Unit	Indicator(s)/Target(s)
HR and FA	Established Supervisor Forum

Action 11	GAP Principle(s)	Timing (at least by year's quarter/semester)
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**Develop a pilot project for promotion courses to scientific top positions into a permanent scheme for women**

The gap analysis shows that equality work is well established and that UiB fully complies with the principles. All the same, UiB wants to further develop its practice in the field. For many years, UiB has had its focus on equal opportunity and has action plans for gender equality, diversity and inclusion. The university wants to have more women in scientific top positions and will develop the pilot project for the

(++) 27. Gender balance

H2020

Responsible Unit	Indicator(s)/Target(s)
HR	Established programme for promotion courses

**Proposed ACTIONS**

promotion course into a permanent scheme.

**Action 12**

**Academic CV and career interruption**

The rules of conduct for the recruitment of researchers (Code) point to the importance of a CV with an interruption in the academic path not leading to disqualification of applicants. UiB is concerned that recruitment should take place on the basis of qualifications, and wants to ensure a practice whereby interruption should not exclude qualified applicants from being considered.

In order to ensure adherence to this principle, the faculties will review their guidelines for assessing applicants, including the procedures for which works are assessed by an expert committee. The review should account for interruption/alternative career paths so that the procedures do not inadvertently hinder the assessment of applicants.

**GAP Principle(s)**

(++) 10. Non discrimination (+)  
+ 17. Variations in the chronological order of CVs (Code)

**Timing (at least by year's quarter/semester)**

H2021

**Responsible Unit**

**Indicator(s)/Target(s)**

The Faculties Procedures revised

**Action 13**

**Platform of knowledge discrimination and diversity**

The gap analysis shows that relatively few researchers are recruited from underrepresented groups, even though UiB works actively to promote equality and diversity. UiB's diversity and inclusion action plan stipulates that no one should experience discrimination, and that the diversity perspective should be taken into account in announcements. The review of the OTM-R checklist showed that insufficient data is currently available to assess action in this area. Therefore, initiatives are being taken to establish a system for a better platform of knowledge on equality, diversity and discrimination, which can also be used in the revision of action plans.

**GAP Principle(s)**

(++) 10. Non-discrimination

**Timing (at least by year's quarter/semester)**

H2021

**Responsible Unit**

**Indicator(s)/Target(s)**

HR

System established, platform of knowledge available

Proposed ACTIONS		
<b>Action 14</b>	<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>
<p><b>Guidelines and employment agreements for staff engaged in international working conditions and externally funded projects</b></p> <p>Although UiB fulfils the requirements of C&amp;C for appointments, increasing participation in international networks and externally funded project work will require guidelines for employment agreements to be developed for employees engaged in international working conditions and externally funded projects. The guidelines and employment agreements must be prepared in accordance with labour legislation and contractual regulations in the European Economic Area and international and national law. Common guidelines are being drawn up, and subsequently templates for employment contracts that govern UiB's international working conditions and externally funded projects.</p>	(++) 21. Postdoctoral appointments (Code) (++) 24. Working conditions	Guidelines H2020 Employment agreements H2021
<b>Action 15</b>	<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>
<p><b>Develop pay mechanisms to stimulate quality of research and education and active dissemination of scientific activities</b></p> <p>The local wage policy is stipulated by agreement between the parties to working life at UiB according to the national master collective agreement . It is a common platform for how the pay system should be used and what pay-related measures are necessary to achieve the objectives of the organisation. The wage policy is an integral part of the organisation's personnel policy, and provides, among other things, the guidelines for wage determination on announcement and appointment, and criteria for assessing individual salaries for scientific positions. Although UiB thereby meets the C&amp;C requirements in the area, it is desirable to develop the wage mechanisms used to stimulate quality in research and education and active dissemination of</p>	(++) 26. Funding and salaries	V2020
	<b>Responsible Unit</b>	<b>Indicator(s)/Target(s)</b>
	HR	Developed guidelines and templates for employment agreements
	HR	Revised wage policy

## Proposed ACTIONS

scientific activities.

The University will revise the wage policy, including the measures and practices established for the R&D positions.

Unselected principles:

(++) 1. Research freedom (++) 2. Ethical principles (+ +) 4. Professional attitude (++) 5. Contractual and legal obligations (++) 6. Accountability (++) 7. Good practice in research (++) 8. Dissemination, exploitation of results (+ +) 9. Public engagement (++) 16. Judging merit (Code) (+ +) 18. Recognition of mobility experience (Code) (+ +) 19. Recognition of qualifications (Code) (++) 20. Seniority (Code) (++) 22. Recognition of the profession (++) 23. Research environment (++) 25. Stability and permanence of employment (++) 29. Value of mobility (++) 31. Intellectual Property Rights (+ +) 32. Co-authorship (++) 34. Complaints/appeals (+ +) 35. Participation in decision-making bodies (+ +) 36. Relation with supervisors (++) 38. Continuing Professional Development

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap between the range of actions listed above, please provide a short commentary demonstrating this implementation. If this is the case, please make the link between the OTM-R checklist and the overall action plan. Max. 1000 words)

UiB's gap analysis of the OTMR checklist was undertaken in Workshop IV.

This process showed that UiB has clear guidelines and templates for the announcement of scientific positions. Despite this, variations in announcement practices occur in the units. The Working Group found it appropriate to establish a combined OTM-R policy according to the EU's OTM-R package.

The main points of the Working Group's discussions can be summarised as issues related to the three recruitment phases and to the achievement of UiB's recruitment strategies.

For the recruitment phases, it was pointed out that the announcement texts need to be designed to include a mention of development and career opportunities in the positions. It will be useful to investigate more closely the total number of announcements on the e-recruitment tool "JobbNorge", compared with the number on EURAXESS, and other advertising channels such as newspapers, trade journals etc. UiB has clear rules for the composition of evaluation committees, and there is considerable emphasis on these being followed. However, UiB does not have an adequate system for feedback during or after interviews, even though all applicants are informed at the end of the selection process.

In terms of achievement of the objectives for the recruitment strategies, it was shown that UiB has several policy documents with priority areas for recruitment of scientists. UiB's Action Plan for Research Infrastructure will help make research environments at UiB attractive for cooperation, while providing an advantage in the recruitment process and the competition for external research funding. It is a general trend that recruitment from outside the organisation is gradually on the rise in terms of the number of applicants and appointments. There are currently insufficient data for further analysis, but probably data from JobbNorge can be used to find more exact trends over time.

A detailed description of Workshop IV is given in the report from the Workshop ([link](#)).

Based on the clarifications in Workshop IV, UiB implements the following actions in the Action Plan:

Action 1 – Audit to establish a collective OTM-R policy

Action 2 – Review of templates and procedures used in UiB's recruitment

- Develop common templates for announcement texts that include mention of professional development and career opportunities
- Establish common procedures for feedback to candidates during the recruitment process, with a particular focus on practice related to feedback from interviews.

Action 3 - Recruitment training

- Establishment of e-learning modules for recruitment processes
- Training for members of expert committees
- Training related to interviews and reference interviews

Action 4 - Recruitment management data

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

<http://www.yoursite.com>

#### 4. Implementation

General overview of the expected overall implementation process of the action plan: (max. 1000 words)

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. The initiatives in the Action Plan are to be interpreted and designed with the aim of developing working conditions and research findings in accordance with UiB's overall strategy.

The actions in UiB's action plan have been drawn up within five priority areas:

Recruitment

Career development-/counselling

Supervisor role

Equal opportunities/diversity

Administrative support for R&D staff

The individual actions are aimed at starting and developing in the first implementation phase for C&C. Some actions are intended to extend beyond this stage in order to be further developed and expanded with other measures in UiB's revised action plans. Therefore, emphasis is placed on designing realistic, feasible and measurable initiatives, which are also suitable for using C&C as a tool for long-term quality development of UiB's practice for better "HR in research".

A control and support apparatus will be established at UiB during the implementation phase to ensure that actions in the Action Plan are followed up in practice according to their content.

The C&C Steering Group at UiB shall be continued following approval as "HR Excellence in Research" and will be the central controlling body in the implementation phase for monitoring that the actions are carried out in accordance with the Action Plan. The Steering Group shall have a leader, three academic/administrative managers and representatives of the R&D staff at career level R1-R4. The project team for C&C will continue to act in the implementation period as the case handling body for the Steering Group and point of contact for central administration departments and faculties.

The Director of Human Resources, who is a member of the Steering Group, shall have the central administrative responsibility for the implementation process and for the establishment and follow-up of the control and support apparatus during the implementation phase. UiB's HR Division and the HR sections in the faculties will exercise the administrative line responsibility for support and implementation. Monitoring of the process will take place in consultation with UiB's Research Administration Department and the academic management in the faculties. All in all, this will constitute UiB's support apparatus during the implementation period.

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

**Note:** Click on each question of the checklist to open the editor.

How will the Implementation Committee and/or Steering Group regularly oversee progress? \*

Detailed description and relevant justification (max. 500 words)

The C&C Steering Group will monitor UiB's implementation of the Action Plan. Appropriate project tracking tools are to be used to control and implement the actions. The Steering Group will advise the University Board and other decision-makers on circumstances of significance for the implementation of the actions. At least one meeting in the Steering Group should be held semi-annually. The C&C project team, as the case officer and contact body for the C&C process, will report regularly to the Steering Group on follow-up of the actions and conduct an annual review of the status of implementation of the Action Plan at UiB. Reporting, status and plans for action should be presented in UiB's Annual Reports.

How do you intend to involve the research community, your main stakeholders, in the implementation process? \*

Detailed description and relevant justification (max. 500 words)

R&D staff will be members of the C&C Steering Group as representatives of career level R1-R4. Internal communication on the implementation process and implementation of the actions will be used as a means of involving the breadth of R&D staff during the implementation phase. Therefore, a communication plan will be made for the implementation period. UiB's website for C&C will be the main channel for all information. Input in the implementation phase from R&D staff and others will be processed as a trial arrangement in a newly established central "toolbox". Received proposals will be processed with a view to evaluating and adapting actions in the action plan, as well as extending actions in revised action plans. Administrative processing in connection with the "toolbox" is conducted in the project team, which presents proposals to the Steering Group.

Some of the measures in UiB's Action Plan will involve R&D staff as a group. As an example, the overarching priority area "The Supervisor Role" can be mentioned, which is planned to be an interdisciplinary measure for the various academic, ethical and personnel aspects of the researcher role.

How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy. \*

Detailed description and relevant justification (max. 500 words)

The university's management is represented in the Steering Group for C&C, and thus attends to the management of UiB's strategy and the institution's obligations for C&C and HRS4R.

This has already been followed up in UiB's strategy for 2019-2022, whereby UiB shall develop more outstanding research environments. This is to be achieved by:



- maintaining and developing strong academic disciplines within a broad selection of specialist fields and prioritising basic research. Our researchers shall publish their work in well-respected channels and strive for acceptance in national and international research programmes
- by having internationally strong and attractive doctoral programmes that educate researchers with high academic and ethical standards
- by improving the academic development within our priority areas, profiling these and developing their interdisciplinary potential
- by developing interdisciplinary research and collaborative forms that utilise the strong points of a broad-based university
- by knowledge and expertise being openly shared. We will facilitate open access to and use of research results, data, publications and learning resources
- by having academic cultures with a clear focus on ethics, leadership and career development
- by prioritising recruitment for establishing robust research environments.

Another important adaptation of UiB's recruitment policy is Action 1 to establish an OTM-R policy according to the EU's OTM-R package.

How will you ensure that the proposed actions are implemented? \*

Detailed description and relevant justification (max. 500 words)

UiB has been preparing its affiliation process to C&C for a long time. Following the publication of the reinforced HRS4R procedure, UiB chose to carry out its preparations according to the new requirements rather than speeding up an application. The main rationale for this was that UiB believed that, by using this method, it ensured that the C&C principles would have a real significance for better practice at UiB for "HR in research".

The established project organisation at UiB is organised, and will have the task of being the control and support apparatus for implementing the actions in the action plan. The implementation of the actions will be monitored using an electronic project tracking tool. The progress of the implementation will be communicated to R&D staff, managers and others by discussion on the C&C website and other information channels to strengthen a common awareness of the importance of implementing the actions in the Action Plan.

How will you monitor progress (timeline)? \*

Detailed description and relevant justification (max. 500 words)

UiB has emphasised the design of realistic, feasible and measurable actions in the Action Plan. The description of the actions is intended to ensure the need to monitor the timing of implementation of the actions and the degree of attainment. The project tracking tool is designed for timely registration of both subsidiary objectives and progression up to final achievement of objectives.

The responsibility for the timely implementation will lie in each section of UiB's management line, up to the person who has been given formal responsibility for the action. In addition, the Director of Human Resources will have the overall administrative responsibility for continuous project monitoring, together with the Steering Group for C&C and the Project Team. Meetings of the Steering Group will be arranged semi-annually for general control of the implementation status, and with particular focus on the achievement of objectives at the stipulated timeline for the actions.

How will you measure progress (indicators) in view of the next assessment? \*

Detailed description and relevant justification (max. 500 words)

There are several components that UiB considers important for obtaining a suitable measurement system for the qualitative project development of the Action Plan.

In order to make a qualitative assessment of achievement of objectives, the actions must first be defined with simple and unique criteria linked to fixed times on the timeline. For actions already included in the action plan that can be described in great detail, the qualitative indicators can be specified relatively precisely in the text of the action. This will not be possible for other actions since the content will be developed during the implementation period, typically by the action being to establish a working group to discuss the status of the current practice area aimed at targeted future Improvements. These differences mean that the quantification and type of indicator will vary according to the content of each action. Secondly, reporting of target indicators must be set into system, both in relation to who is to conduct the reporting and who is to assess whether the desired progress has been achieved. A third factor for qualitative project development is to relate the assessment of achievement in relation to the phases in the HRS4R procedure. The actions in the Action Plan are therefore not only described so that they can be initiated and implemented in the implementation phase, but there is a possibility of corrections of certain actions at the interim assessment after 24 months or later in the renewal phase.

In order to achieve a good measurement system for the actions, UiB will use a project tracking system in which the actions are placed in a timeline with a description of qualitative indicators, assessment procedures and documentation for management data. The governing bodies will thus be able to monitor implementation and assess improvements to actions in the revision of action plans.

Additional remarks/comments about the proposed implementation process: (max. 1000 words)