

Implementation of Charter/Code – challenges and potentials

Hans M Borchgrevink

Special Adviser, The Research Council of Norway (RCN)

Co-delegate ERA SGHRM and Chair WG Monitoring and Indicators

Delegate ESF MO Forum on researcher careers and Chair WG Mobility

E*Care Conference

«Building a single European market for researchers»

Plovdiv, Bulgaria 15-16 June 2011

The Research Council of Norway (RCN)

Norway has one research council (RCN) covering all fields including basic and applied research, and innovation

- **financed** by all ministries, distributing 30% of governmental R&D funding
- **reports** to the Ministry of Education and Research
- **All of Norway's EU FP7 NCPs are in the RCN**
- The RCN and NCPs communicate with **International Contact Points at the universities and research institutions**

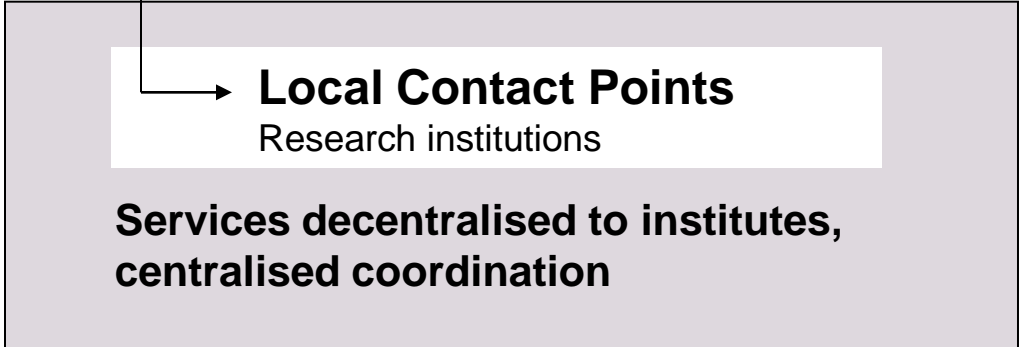
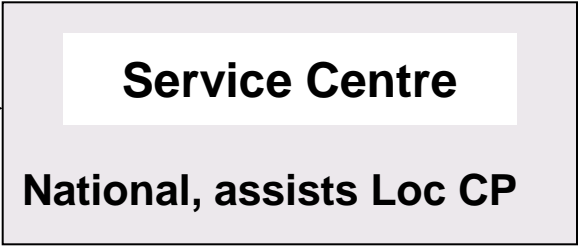
The Research Council of Norway (RCN), SGHRM, EURAXESS and ESF

The **RCN** is

- **co-delegate to the EU Steering Group for HRM** (with The Ministry of Education and Research)
- **project manager** for the **EURAXESS follow-up** appointed by The Norw Ministry of Education and Research
- Norway's only **EURAXESS**
 - **Bridgehead Organisation** (BHO)
 - **Service Centre** (ESC=Mobility Centre for LoCP assistance)
 - Norwegian Researcher Mobility **Portal administrator**

Hands-on information and assistance to researchers are provided by the universities and research institutions
(LoCP=**Local Contact Points**)

- **Delegate to the ESF MO Forum on researcher careers** and Chair of WG Mobility



NORWAY

- Group mirroring EU's HR Strategy Group for C/C**
Ministry of Research
Research Council of Norway
Rectors Conference (UHR)
Research institutions' Org (FFA)
Industries' Org (Abelia)
- Portal Staff Group**
Portal administrator
Research institutions
- Internal Mobility Group**
RCN representatives from various departments

Charter/Code implementation initiatives in Norway– HISTORY (1)

- **Bottom line:**
Charter/Code implementation is hard to accomplish!
- **The European Charter for Researchers and
The Code of Conduct for recruitment of Researchers**
is an **EU Recommendation of March 11, 2005**
 - worked out under consultation and input from the ERA Steering Group for Human Resources and Mobility (SGHRM)
 - intentional and **not** legally binding
- **May 2005:** Norway invited the EC DG Research to attend and give information on the Charter/Code at the Bologna Process Ministers' of Education Meeting in Bergen, Norway, which was attended by European university representatives.
- RCN sent info-letter on Charter/Code on beforehand to the Norwegian universities and R&D inst.

Charter/Code implementation initiatives in Norway— HISTORY (2)

- **Sept 2005: Conference in RCN on the Charter /Code** the day before Researchers' Night with invited speaker Director Rafaele Liberali, EC, and our Minister of Education and Research launched the Norwegian mobility portal in front of delegates from the universities and other research institutions
- **Further information on the C/C** given integrated with establish-ing the **ERA-MORE** information centres at the universities
- **Fall 2005: NO INSTITUTIONS SIGNED the Charter/Code**
- **December 2005:** The Ministry of Education and Research asked the Rectors' Conference to evaluate the Charter/Code and point out consequences of signing - not performed
- In their annual budget allowance letter the Ministry of Education and Research **demande d the universities and university colleges to announce vacant researcher positions on the EU Mobility Portal** (result: more than 1600 positions posted 2003-2008, which is 10% of the total from all countries)

Charter/Code implementation initiatives in Norway— HISTORY (3)

- **February 2006:** Letter on researcher mobility including C/C and ERA-MORE to all university/college rectors and CEOs of public research institutes sent by RCN
- **Spring 2006:** The Rectors' Conference secretariat hesitated to conclude on the consequences of signing the C/C
- **May 2006:** Small information- and dialogue meeting with the Ministry of Education and Research, the Rectors' Conference secretariat, the Researchers' Association and the RCN, emphasising
 - the intentional character of the C/C
 - that Norway had taken part in working out the C/C
 - **that Norway fulfilled most of the C/C elements already and rather should front the recommendation than be reluctant**

Towards Norway signing the Charter/Code HISTORY (1)

- **End May 2006:** The Rectors' Conference secretariat proposed to sign, but their Board wanted further evaluation of the consequences of signing.
- **October 2006: A PR trick:** We were preparing for the joint EU/Nordic Copenhagen conference
 - **"Investing in research and innovation"** (N-IRI)
 - Commissioner Potocnik and the Norwegian Minister of Education and Research were keynote speakers.

During an ERA-MORE Norway Steering Group meeting the Ministry of Education and Research was asked **if the RCN was allowed to sign the C/C for Norway at the conference.** If so, the Minister might make a point of that in his keynote speech.

- The Minister agreed. The Commission was informed.

Towards Norway signing the Charter/Code HISTORY (2)

- **October 17th 2006: The RCN CEO Arvid Hallén signed up the C/C for Norway** at the conference podium and handed the declaration over to Commissioner Potocnik there and then
- Both Mr Potocnik and our Minister referred to Norway signing up for the Charter/Code in their keynote speeches, and the event was covered by the media. **NORWAY HAD SIGNED!**
- **December 2006:** The RCN organised a dialogue meeting on EU R&D policy initiatives including the Charter/Code with the Pro-rector for Research and the Research Director of the University of Oslo.
- **February 2007: The Rectors' Conference signed the Charter/Code** and recommended their member organisations to sign up as well.
NO MEMBER ORGANISATION SIGNED

Norway's Charter/Code gap analysis 2008 - an important step

- **2007:** The RCN urged the Ministry to ask **the Rectors' Conference to perform a Charter/Code gap analysis**
- **2008:** The Rectors' Conference established a **Charter/Code gap analysis WG** chaired by Univ of Oslo (Pro-rector H Benestad), and with representatives from the major universities,
- with the Ministry and the RCN as observers.
- **The Charter/Code gap analysis** was sent to the Ministry **Aug 2008** and commented by the Rectors' Conf fall 2008
- The Rectors' Conf and RCN collaborated on the **launch conference for the C/C gap analysis 28 Jan 2009**

The following initiatives were part of the RCN National Action Plan for C/C implementation in line with the discussions in

- **EU EURAXESS C/C Promoters' Network**

The RCN Charter/Code National Action Plan for Promotion and implementation of C/C (1)

in line with the EU EURAXESS Promoters' Network template

■ **Action Plan 1: Self Assessment and Gap Analysis**

a) Inform national stakeholders:

- **By seminar 280109** for
 - Ministry of Education and Research
 - the Norw Rectors' Conference (UHR)
 - Universities/-colleges (Central management/administration, incl Pro-Rector for Research or Int'l affairs, Research Dpt, International Dpt, HR/Personnel Dpt)

presenting

- the **C/C and the national gap analysis**
- the EURAXESS Promoters' Network Norw representatives (Univ of Oslo and RCN)
- the Norw C/C Pionéer Institutions (NTNU and RCN)
- NTNU's ideas on how to implement C/C
- the need for "**fast track Scientific VISA**"
- the need for **improved Suppl Pension Rights**

jointly organised by UHR and RCN, **opened by the Norw Minister** for Education & Research and the RCN CEO, chaired by UHR

The RCN Charter/Code National Action Plan for Promotion and implementation of C/C (2)

- b) **Perform national C/C gap analysis** (200808), presented at the joint UHR/RCN seminar 280109

Action Plan 2: Revitalise the EURAXESS Services Network by

- a) engaging a EURAXESS Project Manager in RCN
- b) establishing the National EURAXESS Services Network - the univ's/univ colleges each appointing 2 contact persons
- c) the RCN appointing an Internal EURAXESS coordination group including the NCP for mobility and the delegate to the EU FP7 "People" Programme Committee
- d) the RCN appointing an National EURAXESS WG consisting of contact persons from the 3 largest univ's (U of Oslo, Bergen and Trondheim/NTNU)

The RCN Charter/Code National Action Plan for Promotion and implementation of C/C (3)

■ Action Plan 3: External communication

- a) the Norw Rectors' Conference (UHR) after the seminar 280109 addressed Norway's univ's and -colleges and asked them to implement
- the C/C by "Declaration of Commitment to C/C"
 - the "Declaration of Commitment to the HR Strategy for researchers incorporating the C/C" (Feb 2009)
- b) the RCN: by corresponding letter as the UHR in 3a) adding
- Declaration of Commitment to EURAXESS Services to the institutions with copy to contact persons (spring 2009)
- c) RCN input to the Ministry of Educ & Research regarding the Ljubljana Process Partnership / National Action Plans
Better careers and more mobility, including
- C/C
 - "fast track Scientific VISA"
 - the need for improved Suppl Pension Rights, etc
- and as input to the new Norw White paper on Research

The RCN Charter/Code National Action Plan for Promotion and implementation of C/C (4)

- d) by the National EURAXESS WG, consulting the National EURAXESS Services Network on C/C implementation, coordinated by RCN's EURAXESS project manager (ROUTINE)
- e) by the National EURAXESS Services Network's univ's/-colleges contact persons (ROUTINE)
- f) by follow-up EURAXESS seminars (the first 28-290109)
- g) by information on and exchange of best practises with BHOs of other countries, the first 28-290109 by inviting the Suisse EURAXESS BHO to the seminar
- h) by study tours, the first arranged spring 2009 to the Suisse EURAXESS BHO and Service Centres
- i) at RCN seminars for EU FP7 NCPs and International Contact Points at the universities and research institutions (first 6 March 09)

The RCN Charter/Code National Action Plan for Promotion and implementation of C/C (5)

Action Plan 4: Networking to be performed by stakeholders of AP 3

Action Plan 5: Lobbying to be performed by stakeholders of AP 3

**Action Plan 6: Strategy for C/C implementation in the HR
Strategies of R&D institutions (from Sept 2009)**

Discussions of best practises for C/C implementation

- in the former *EU Charter and Code Promoters' Network*
Norwegian representatives: Univ of Oslo, and RCN

- between the former *EU C/C Pion er institutions*
Norwegian representatives: NTNU (Trondheim) and RCN

These fora were fused into the present
***EU Institutional Human Resources Strategy Group for
incorporating C/C in the institutions' HR strategies***
with Univ of Oslo, NTNU and RCN as members of Group 1
represented at the Pro-Rector/Research Director levels

The RCN Charter/Code National Action Plan for Promotion and implementation of C/C (7)

To give input to, learn from and distribute ideas from the
EU Institutional HR Strategy Group RCN established a

- **National Resource Group for Charter/Code and EURAXESS**
(UiO, UiB, NTNU, UIT and UHR/Rectors' Conf)
with **high-level representatives** from Rectorate / Research Director, and
from HR administrative levels – which will communicate with
- the Norwegian delegates of the **EU Institutional HR Strategy Group**
 - Pro-Rector Inga Bostad, Univ of Oslo
 - Special adviser to the CEO, Hans M Borchgrevink, RCN

To facilitate coordination, Bostad is also in the National Resource Group, and
Borchgrevink is delegate to the **ERA SGHRM**, which reports to **ERAC** on
Better Careers and more mobility – a European Partnership for Researchers,
where Charter/Code elements are central

In addition we established a

- RCN Internal Researchers' Career & Mobility Group
(Chair: EURAXESS project manager)
coordinating RCNs inputs to the Ministry of Education & Research on the
Better Careers and more mobility – a European Partnership for Researchers
- the Ministry reports to ERAC and the Competitive Council

Charter/Code implementation in the RCN (1)

- Having signed the Charter & Code the RCN should take steps to secure **that institutions and individuals receiving RCN funding follow the principles and elements of the Charter/Code**
- **Charter/Code elements** thus should be incorporated in RCN's HR strategy, but also **in policy documents, calls, grant agreements and contracts**
- These implications for RCN of signing C/C were made clear to the **RCN CEO and Directors' Forum (DF)**. The Director of RCN Division for Science was appointed responsible for the implementation

Charter/Code implementation in the RCN (2)

- Working Group

- An internal **Working Group (WG)** was established by DF Nov 2009 to propose **how Charter/Code elements should be incorporated in RCN's HR strategy, policy documents, calls, grant agreements and contracts** – report deadline Jan 2010
- The WG members were the **EURAXESS** project manager (chair), a **lawyer** (personnel issues), a **personnel administrator**, the chair of the internal **Research Administration Advisory Committee**, the expert on **gender issues**, and the head of **International Grants Dpt**
- **Observers** were a special adviser from our Division for Innovation (funding industrial research), our **IPR lawyer**, and the RCN **delegate to the ERA SGHRM**

Charter/Code implementation in the RCN (3)

- WG report

- The internal **gap analysis** was based on the former national gap analysis, but focused on funder issues
- The **report** was (19p) edited in (somewhat overlapping) sections on
 - Funding, salaries, social security, pensions
 - Researcher career issues and terms
 - Mobility
 - Equality and gender issues
 - Recruitment of researchers
 - Working conditions
 - IPR and participation in administrative bodies
- Each section referred
 - issues pointed out in the National gap analysis
 - issues relevant for RCN's C/C incorporation

Charter/Code implementation in the RCN (4)

- WG report

Proposed actions were summarised in 17 points, of which were

- **RCN internal actions** and proposed wording to be incorporated in the relevant RCN documents
- proposed **priority areas: recruitment, and gender**
- proposed to establish a **RCN WG** to work out the appropriate wording in RCN documents
- proposed actions to be forwarded to **Ministry of Education and Research (MER)**, of which some were
 - **MER actions**, e.g. to be included in their budget allocation letters to the universities
 - actions which MER should present to **relevant other ministries and directorates** (e.g. on taxation, social security, pensions)

Charter/Code implementation in the RCN (5)

- WG report, and state of play

Proposed template for wording on C/C:

- as in «Guide for applicants: Marie Curie Initial Training Networks»

- *The proposal should contain information on the recruitment strategy to meet the request for competitive international recruitment and to promote equal opportunities, including information on conditions of employment where possible. **Explain how you intend to act in line with the principles of the European Charter for Researchers and the Code of Conduct for their recruitment.** Describe also how you intend to ensure that gender balance is also addressed at the level of decision-making when you implement the project.*

State of play: text templates are being worked out for inclusion in relevant documents during 2011, also based on initiatives proved to increase recruitment of women researchers

RCN initiatives which increased % women in research Centres of Excellence (1)

Two calls for Norwegian Centres of Excellence (CoEs)

- **Call (2003):** no specific gender equality initiatives, 3 women of 11 in committee
- **Call (2007): soft gender equality initiatives,** 5 women of 11 in committee

RCN informed the Research Institutions

- to integrate of gender issues
- to stimulate for proposal of women leaders
- that in case of equal scientific quality of candidates, preferential treatment of women would be applied
- that aims for women % in the CoEs should be given, and results would count at mid-term evaluation
- of a specific annual budget for each CoE would be allocated for gender equality issues

RCN initiatives which increased % women in research Centres of Excellence (2)

Without "gender initiatives"

CoE call (2003):

- Women Centre leaders:
3% appl, 0% of engaged

Engaged at start of CoE:

- Professors/researchers: 17%
- PhD-grantees: 35%
- Post-docs: 27%

Young Excellent Researchers (YFF) Call 2003:

- Women
24% appl, 15% of engaged

With "gender initiatives"

CoE call (2007):

- Women Centre leaders:
14% appl, 12,5% of engaged

Engaged at start of CoE:

- Professors/researchers: 23%
- PhD-grantees: 53%
- Post-docs: 44%

Young Excellent Researchers (YFF) Call 2006:

- Women
36% appl, 40% of engaged

Norway: researchers' salaries and terms vs the EU Charter / Code of Conduct for Researchers (1)

- **In Norway, all researchers including PhD-”students” and post-docs are in general considered post-graduate employees. They pay tax and enjoy normal social security and pension rights including maternity leave**
- Most of the issues included in the EU Charter / Code of Conduct are therefore largely fulfilled.
- **Early stage researchers in Norway enjoy the highest gross average salary (51,398 €)* of 34 European countries, which combined with enjoying normal social security and pension rights, and no tuition fees, seem to promote ingoing mobility**

*CARSA Study on the remunerations of researchers in the public and private commercial sectors Annex 7 141106 for EC

Norway: researchers' terms and salaries (2)

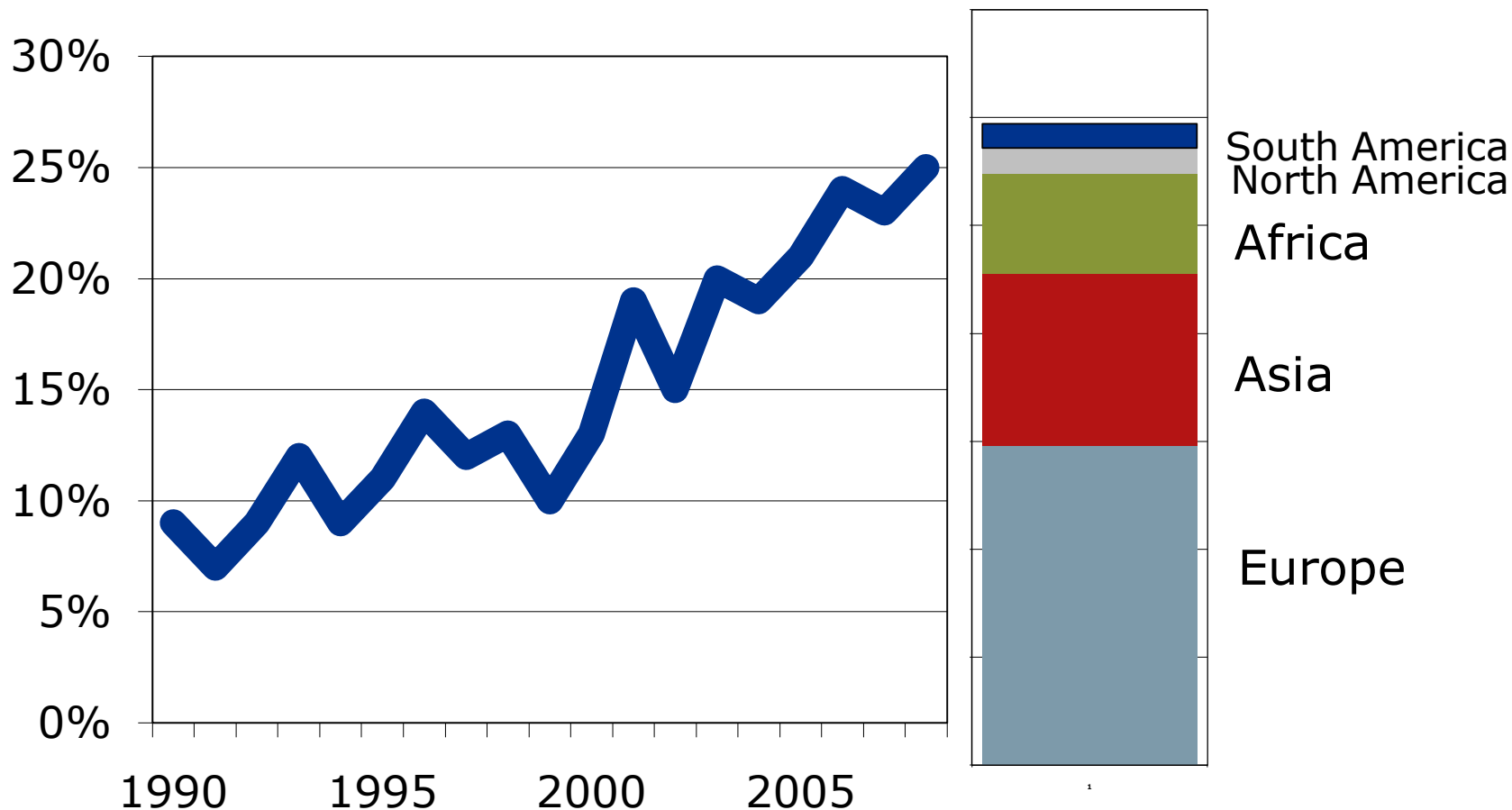
- in 2006-2008 around **25% of PhD degrees were made by foreigners****
 - in some Norwegian Centres of Excellence ~50% of the researchers are foreigners. In CoE Geohazards: ~100%
- **Outgoing researcher mobility is low**
- In social-democratic Norway researchers' (and academics') **salary increase per year is low, so after >15 years their gross average salary (73,665 €)*** ranks around 12th among the same 34 European countries
 - in 2001 ~14% of government-employed researchers were foreigners**
 - **after 10 years, 2/3 of foreigners with Norw PhD have left the country****

*CARSA Study on the remunerations of researchers in the public and private commercial sectors Annex 7 141106 for EC

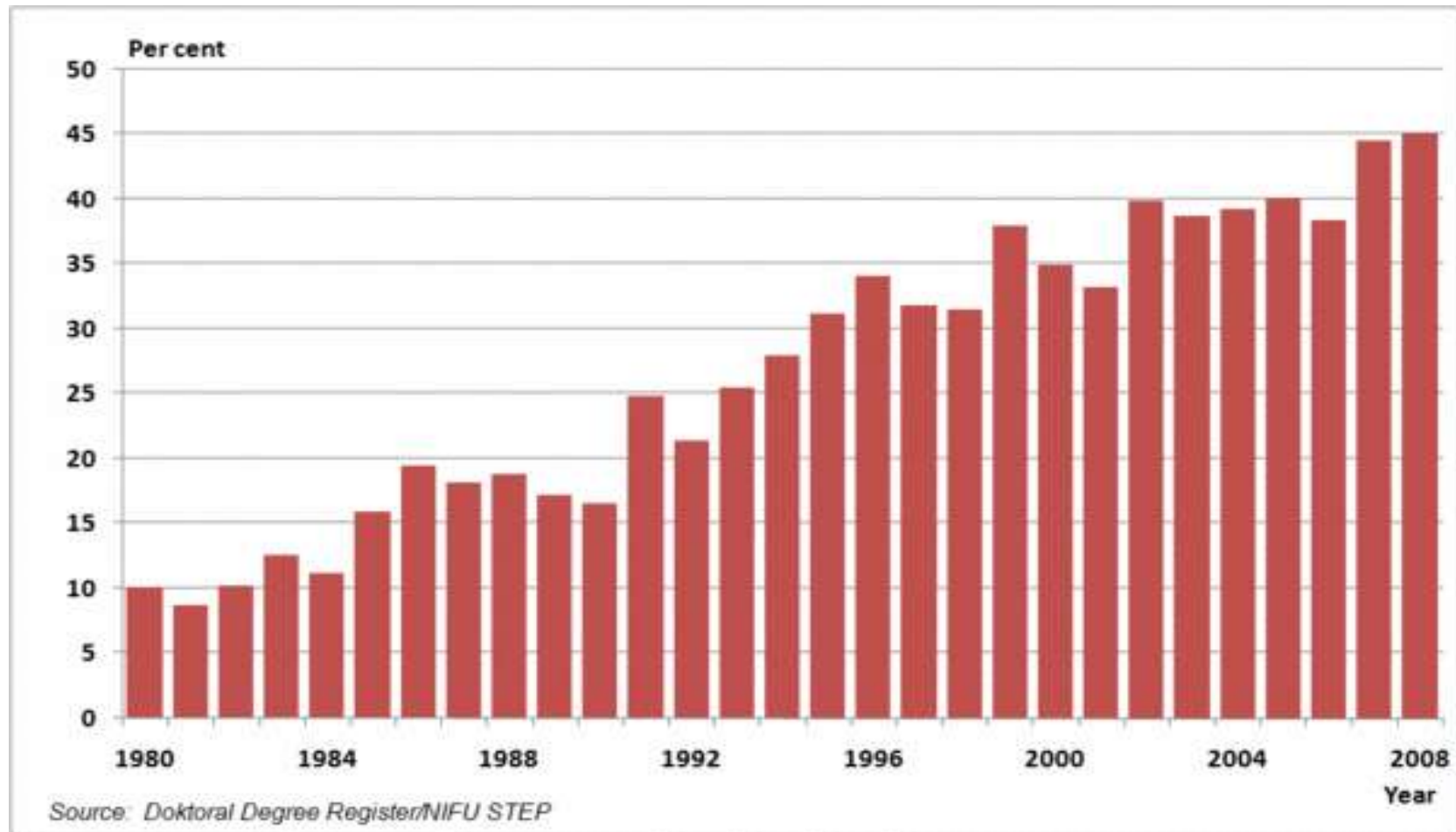
** foreigners by first citizenship (NIFU, 2001; NIFU-STEP 2007, Oslo Norway)

**What is the outcome of efforts for
improving working conditions
and stimulate
internationalisation and recruitment of
women researchers
in Norway?**

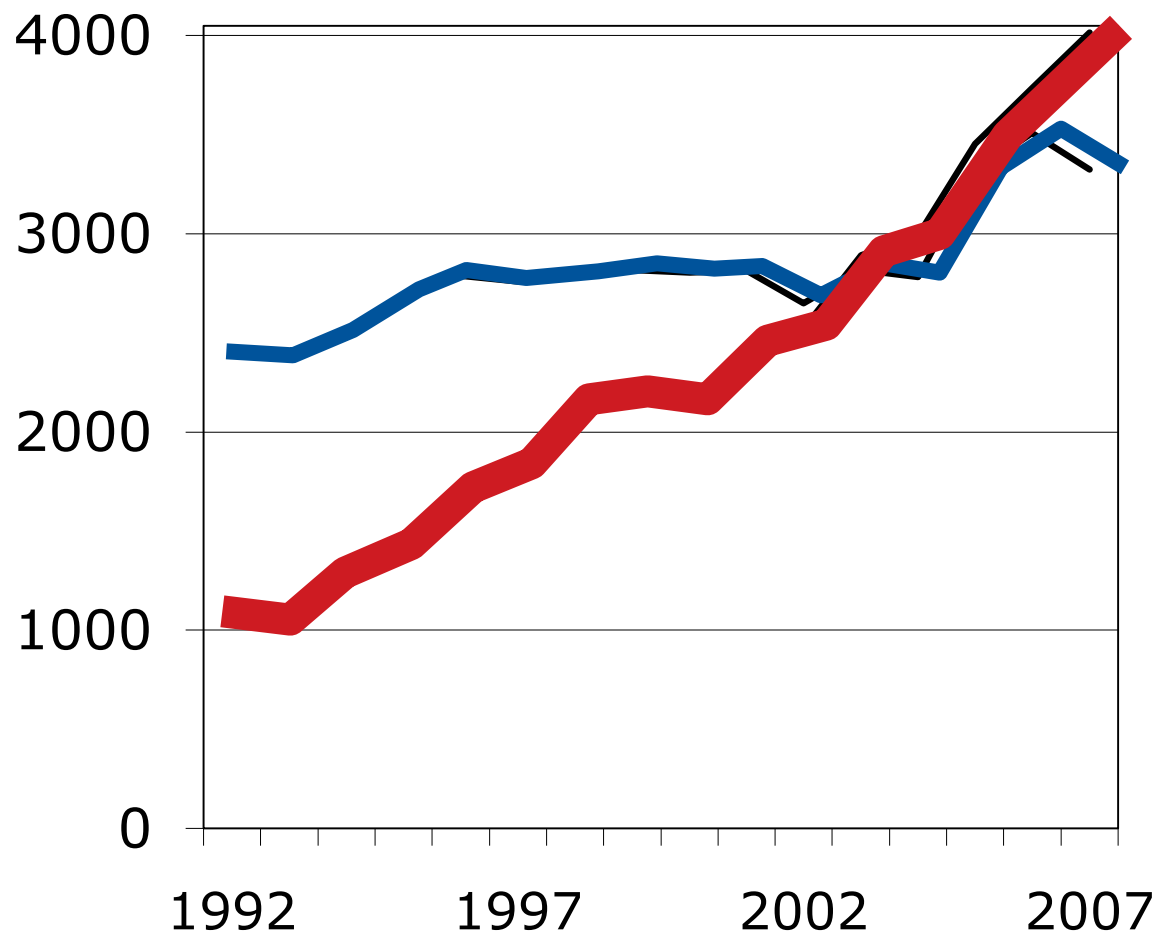
Norway receives an increasing number of PhD students from other countries



Doctoral degrees in Norway 1980-2008 - percentage women



Norwegian research: More international collaboration

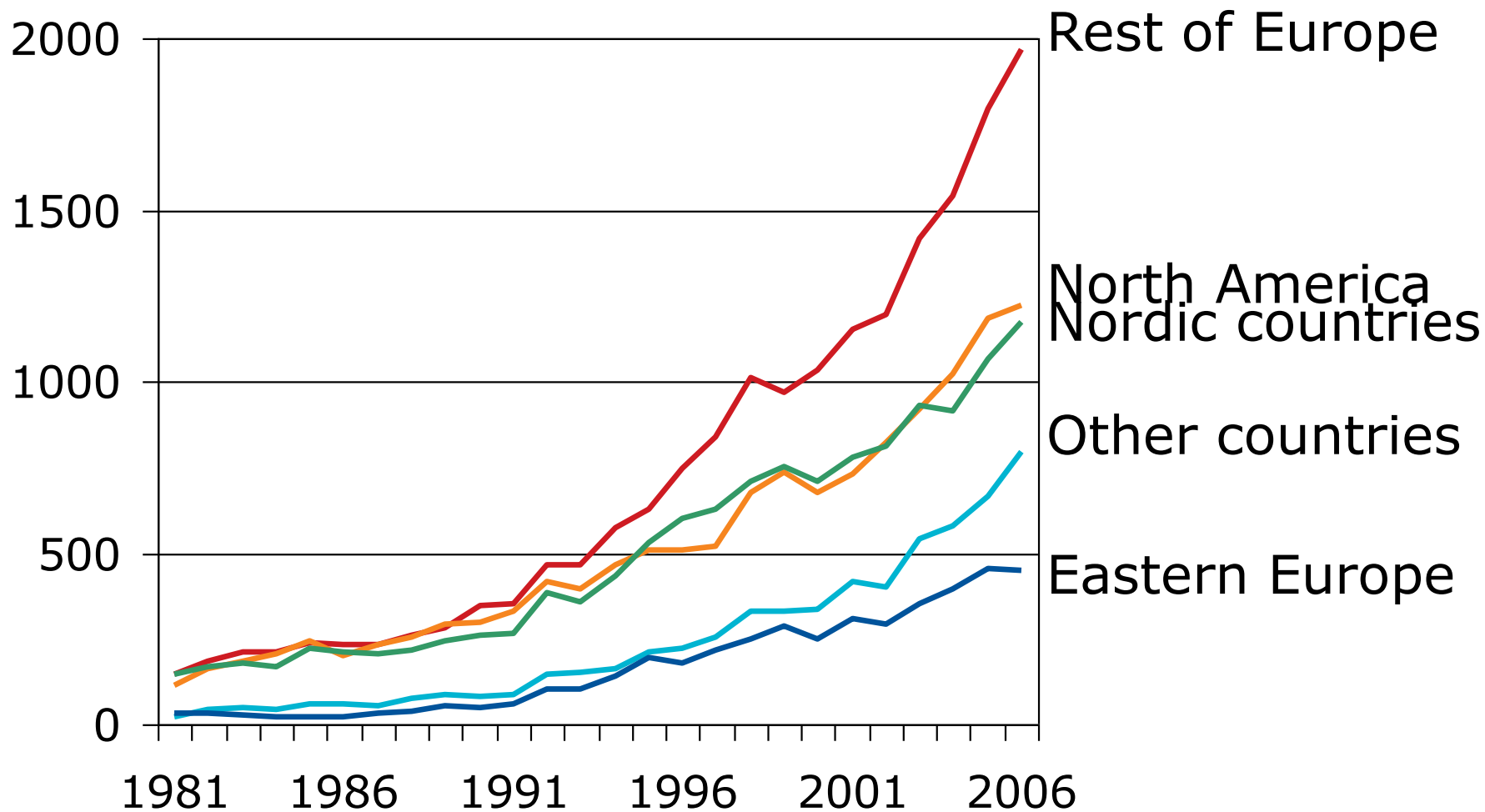


Articles with
international
collaboration

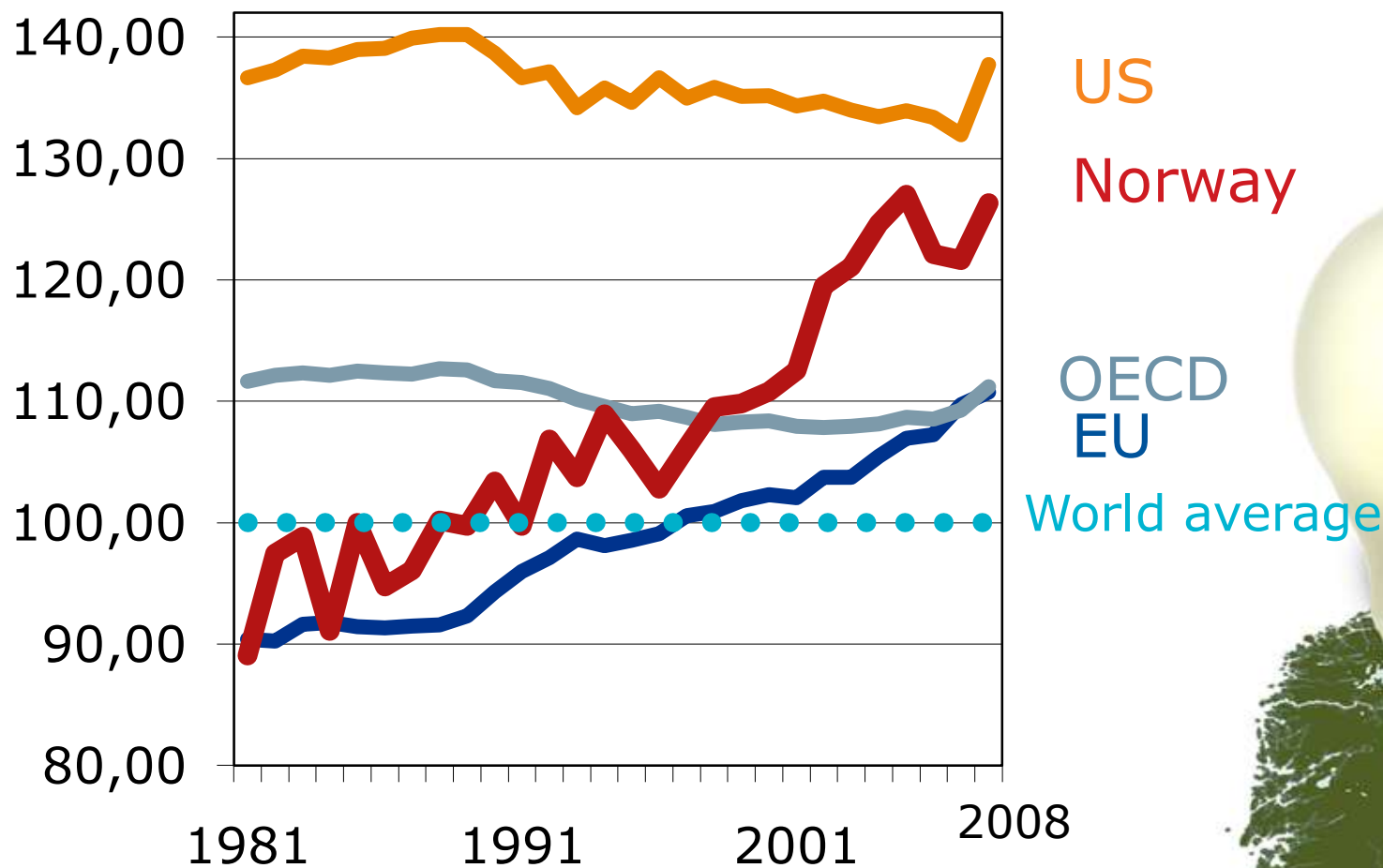
Articles without
international
collaboration

Number of
scientific
publications
increased 38%
from 2005-08

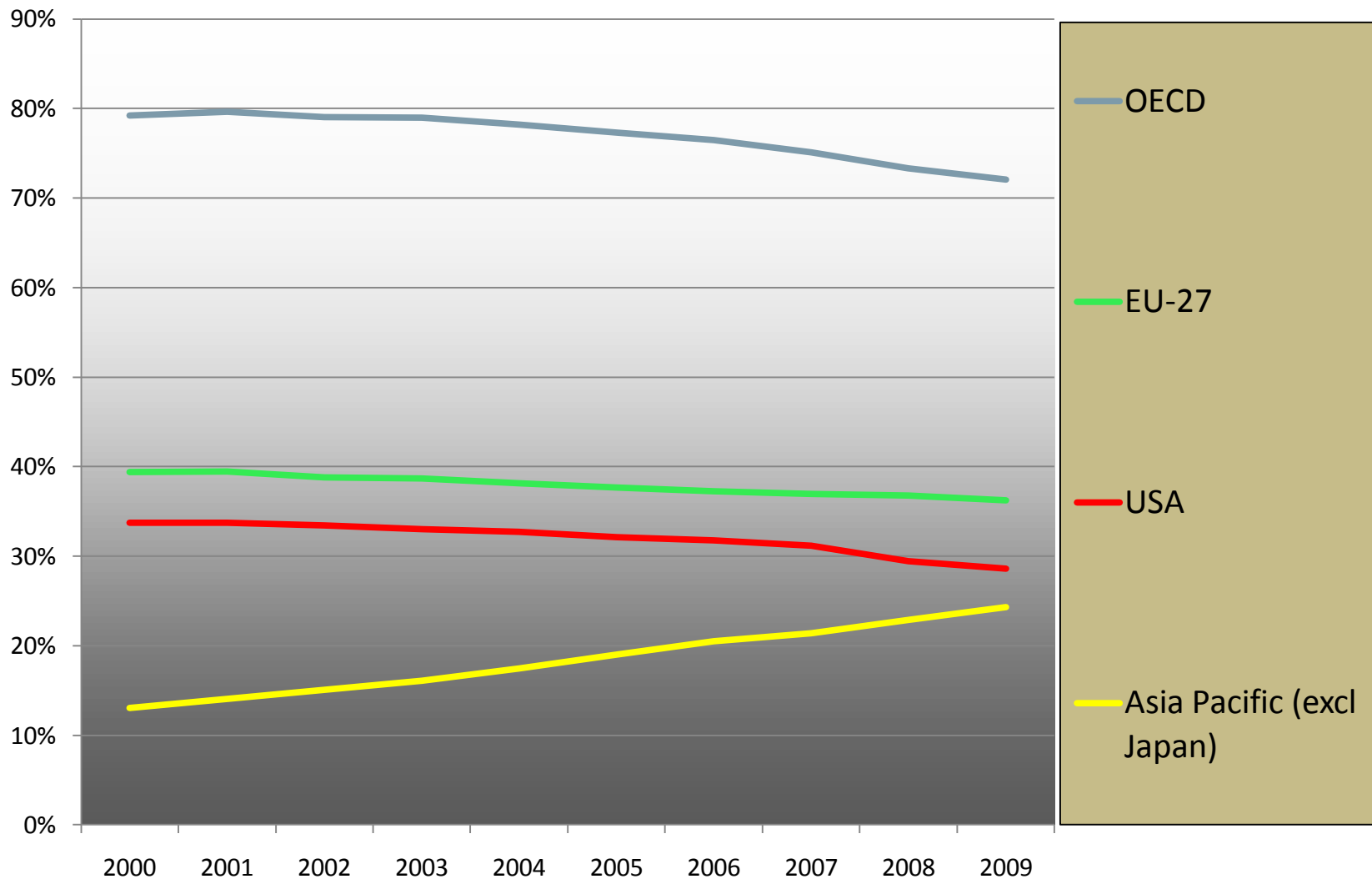
Scientific articles from Norway 1981-2006: Geographic area of international co-authors



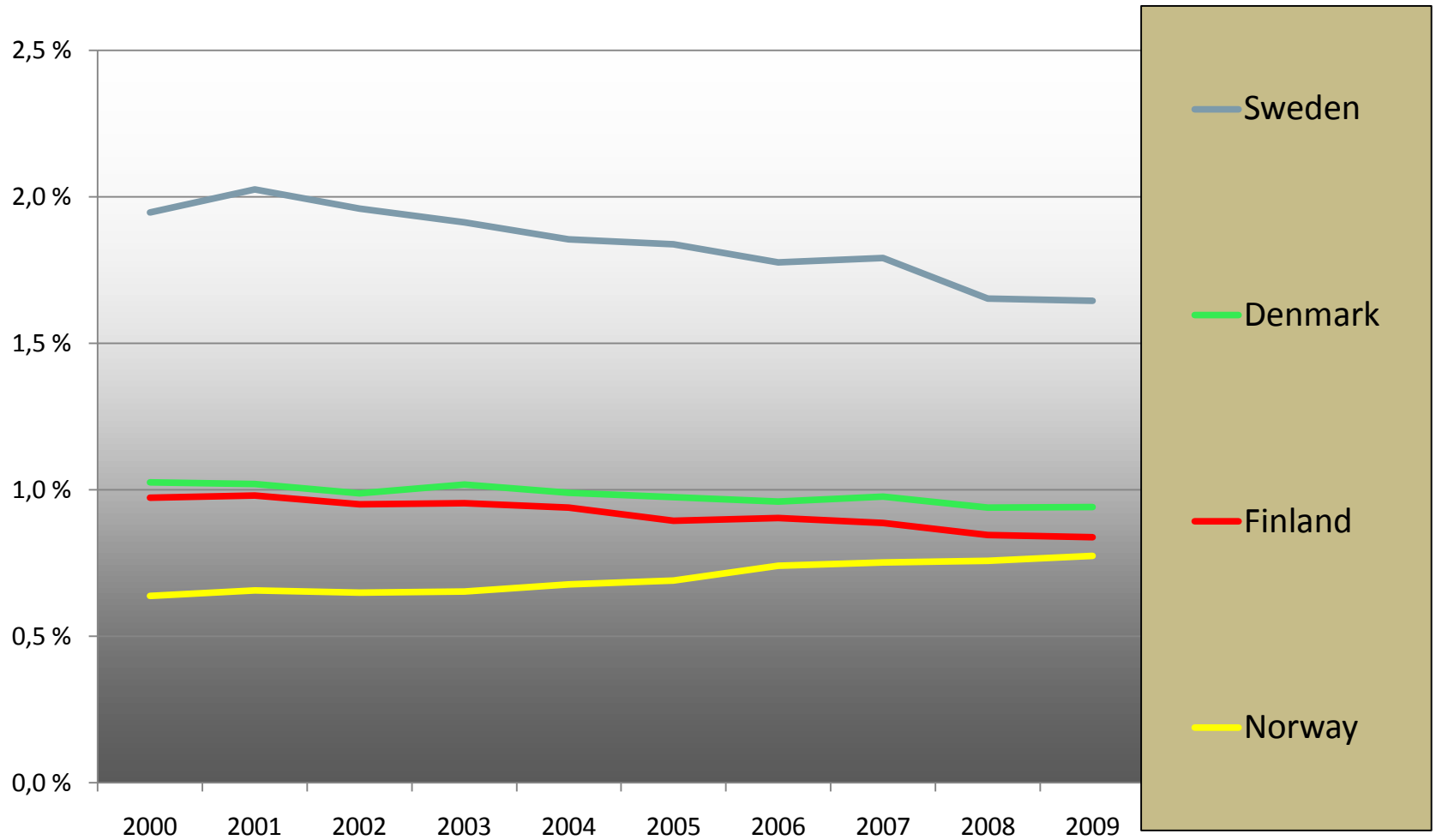
The Citation index: Internationalisation improves Scientific Impact



Shares of the world's scientific output (Thomsen/ISI 2000-2009)



Shares of the world's scientific output (Thomsen/ISI 2000-2009)



**Why implement Charter & Code?
What's in it for each research institution?
What's in it for each country?**

**Charter & Code gives guidelines for improved
and attractive working conditions**

**Implementing Charter & Code
has the potential to
enhance recruitment of
international frontline researchers
in a global competitive market**

**Research-based innovation is the key to
competitive industry in high-cost Europe**