

# Implementation of Charter/Code in Norway – examples of good practice

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

**The European Day of the Entrepreneur 2011**

Seminar: «HR Excellence in research»

Sofia, Bulgaria 26-27 June 2011

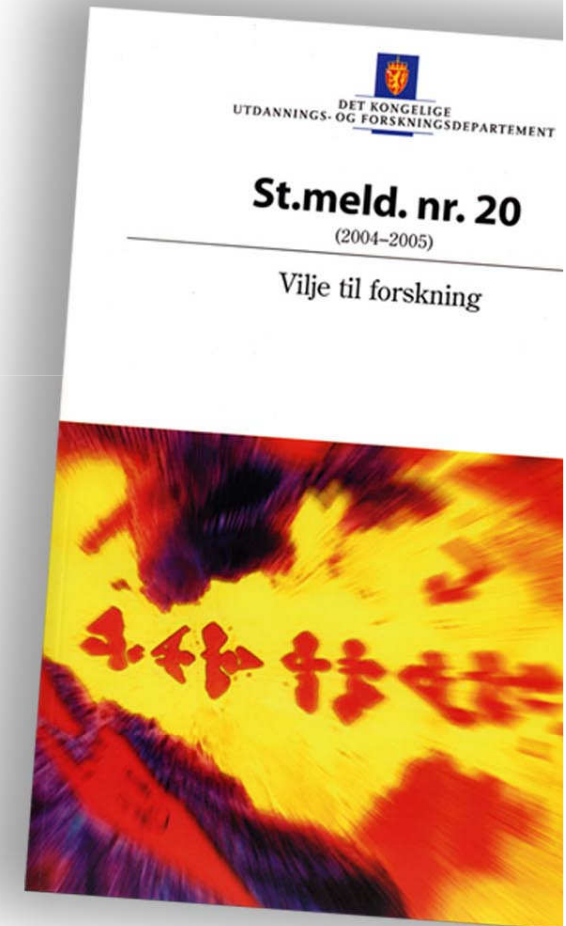
**Norway** participates in the EU research framework programmes in line with the member states through the EEA agreement and has subscribed to the Schengen Agreement.

### **Norway's governmental White Papers**

- *Commitment to research (2005)*
- *Climate for research (2009)*

support the Lisbon agenda, the Barcelona targets, and the Ljubljana process - including improved scientific quality by

- increased **internationalisation**
- facilitation of **researcher mobility**
- **better careers for researchers**
- gradual **opening of national research programmes**

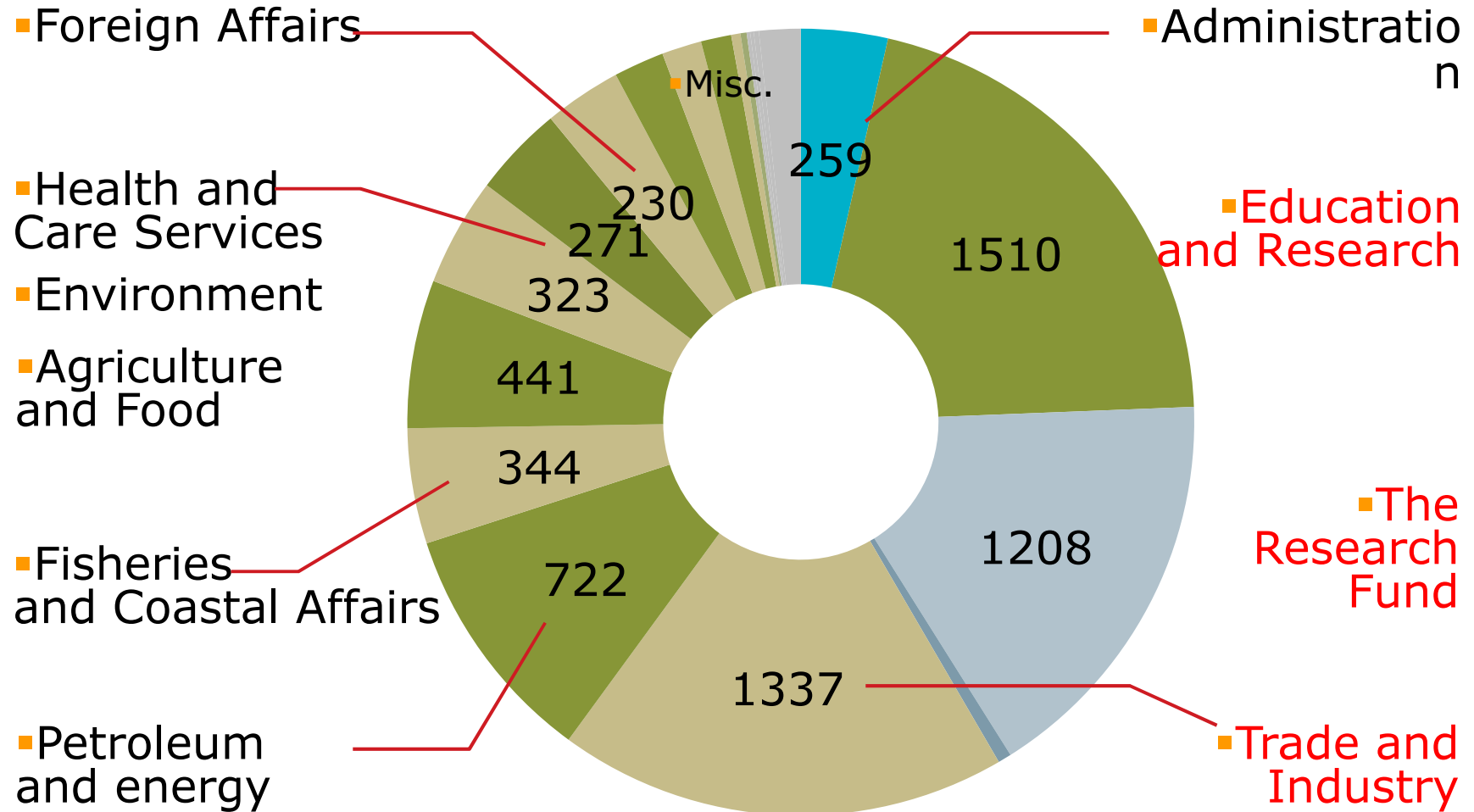


# The Research Council of Norway (RCN)

**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
- **co-delegate to the EU Steering Group for HRM** (with The Ministry of Education and Research) and Chair WG Monitoring
- **EURAXESS project manager, Bridgehead Organisation (BHO), Service Centre (ESC) for Local Contact Point (LoCP) assistance, LoCP gives information/assistance to researchers) Portal administrator**
- **Delegate to the ESF MO Forum on researcher careers and Chair of WG Mobility**
- **All of Norway's EU FP7 NCPs are in the RCN**

# All ministries / sectors engaged in research funding (2011)



■ Total 900 mill. € administration incl.

# The Research Council distributes about 30% of total public spending on R&D in Norway



## **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
- **April/May 2005:** info-letter on Charter/Code and in Bologna process conference (Bergen) for universities and R&D inst.
- **Sept 2005: Conference in RCN on the Charter /Code** for universities and R&D institutions with Director Rafaele Liberali, EC, and Norwegian Minister of Education and Research launched the Norwegian mobility portal
- **Fall 2005: NO INSTITUTIONS SIGNED the Charter/Code**

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

- **SUCCESS 1**: In their 2006 annual budget allowance letter the Ministry of Education and Research **demanded the universities and university colleges to announce vacant researcher positions on the EU Mobility Portal** (result: 1600 positions posted by 2008, i.e. 10% of the total from all countries)
- **SUCCESS 2**: A PR trick: October 17th 2006: **The RCN CEO Arvid Hallén signed up the C/C for Norway** at the EU/Nordic N-IRI plenary conference podium and handed the declaration over to Commissioner Potocnik in the presence of the Norwegian Minister for Research, who both made a point of this in their talks. This pushed the **Rectors' Conference to sign February 2007**
- **But still NO MEMBER ORGANISATION SIGNED.**

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

**SUCCESS 3:** Fall 2007 the RCN urged the Ministry to ask **the Rectors' Conference to produce a national Charter/Code gap analysis** comparing with national legislation and institutional practice. The Ministry and the RCN were observers. This

- forced the universities to look into and evaluate C/C elements
- made the universities aware that they largely were lagging behind in **strategies for researcher recruitment**, streamlining of **VISA and employment routines**, and education and retainment of researchers by **career advice**
- created a fruitful dialogue at the joint Rectors' Conf / RCN **launch conference for the C/C gap analysis 28 Jan 2009**
- **facilitated forthcoming institutional C/C gap analyses**

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

## RCN

- engaged a **EURAXESS Project Manager** to also promote C/C
- established a **National EURAXESS Services Network** - the univ's/univ colleges each appointing 2 contact persons
- appointed a **National EURAXESS WG** consisting of contact persons from the 3 largest univ's (U of Oslo, Bergen and Trondheim/NTNU)
- appointed an **Internal RCN EURAXESS coordination group** including the **NCP for mobility** and the delegate to the EU FP7 **"People" Programme Committee**
- allied with the Rectors' Conference to ask institutions sign
  - **"Declaration of Commitment to C/C"**
  - **"Declaration of Commitment to the HR Strategy** for researchers incorporating the C/C" (Feb 2009)
  - **Declaration of Commitment to EURAXESS Services** to the institutions with copy to contact persons (spring 2009)

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

gave input to the Ministry of Educ & Research regarding the **Ljubljana Process Partnership** *Better careers and more mobility*, including

- **Charter/Code**
  - **“fast track Scientific VISA”** (2 Recomm + 1 Directive)
  - need for **improved Supplementary and Portable Pension Rights**
- also included as input for the **new Norw White paper on Research**
- 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
  - by **study tours to other countries’ BHOs**, the first arranged spring 2009 to the Suisse EURAXESS BHO and Service Centres
  - by 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 (3)

## 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 pioneer fora were fused into the present

- **EU Human Resources Strategy Group for incorporating C/C in the institutions' HR strategies (later named *HRS4R*)**  
with Univ of Oslo, NTNU and RCN as members of Group 1  
**represented at the Pro-Rector/Research Director levels**

**SUCCESS 4**: RCN established a

- **National HRS4R "mirror group"** with **high-level representatives** from the leading universities' Rectorate / Research Director, and HR administrative levels, and the Ministry; chair RCN  
- to discuss HRS4R issues, **exchange C/C gap analyses and best practice experiences**, and take this to the EU HRS4R, and via RCN and the Ministry to the **Ljubljana Process**/European Partnership for Researchers, 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

## Effects of remuneration and social security (1)

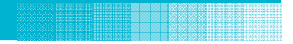
- **In Norway, all researchers including PhD-”students” and post-docs are post-graduate employees** (apart from some 3. world country students entering on student terms with developmental funding).  
**They pay tax and enjoy normal social security and pension rights** including maternity and paternity leave
- **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, promotes ingoing mobility (cf below)
- **Norway is topping up Marie Curie grants for incoming researchers to match national funding levels**
- \*CARSA Study on the remunerations of researchers in the public and private commercial sectors Annex 7 141106 for EC

## Effects of remuneration and social security (2)

- **25% of PhD degrees in Norway are made by foreigners**
- **Outgoing researcher mobility is low, probably partly because terms are more favourable in Norway for young researchers. Norway is presently negotiating with EU to be allowed to top up outgoing Marie Curie grantees (so far inconclusive)**
- **In social-democratic Norway researchers' (and academics') salary increase per year is low, so after >15 years their gross average salary (73,665 €)\*ranks 12th among the same 34 European countries**
- **After 10 years, 2/3 of foreigners with Norwegian PhD have left the country\*\***

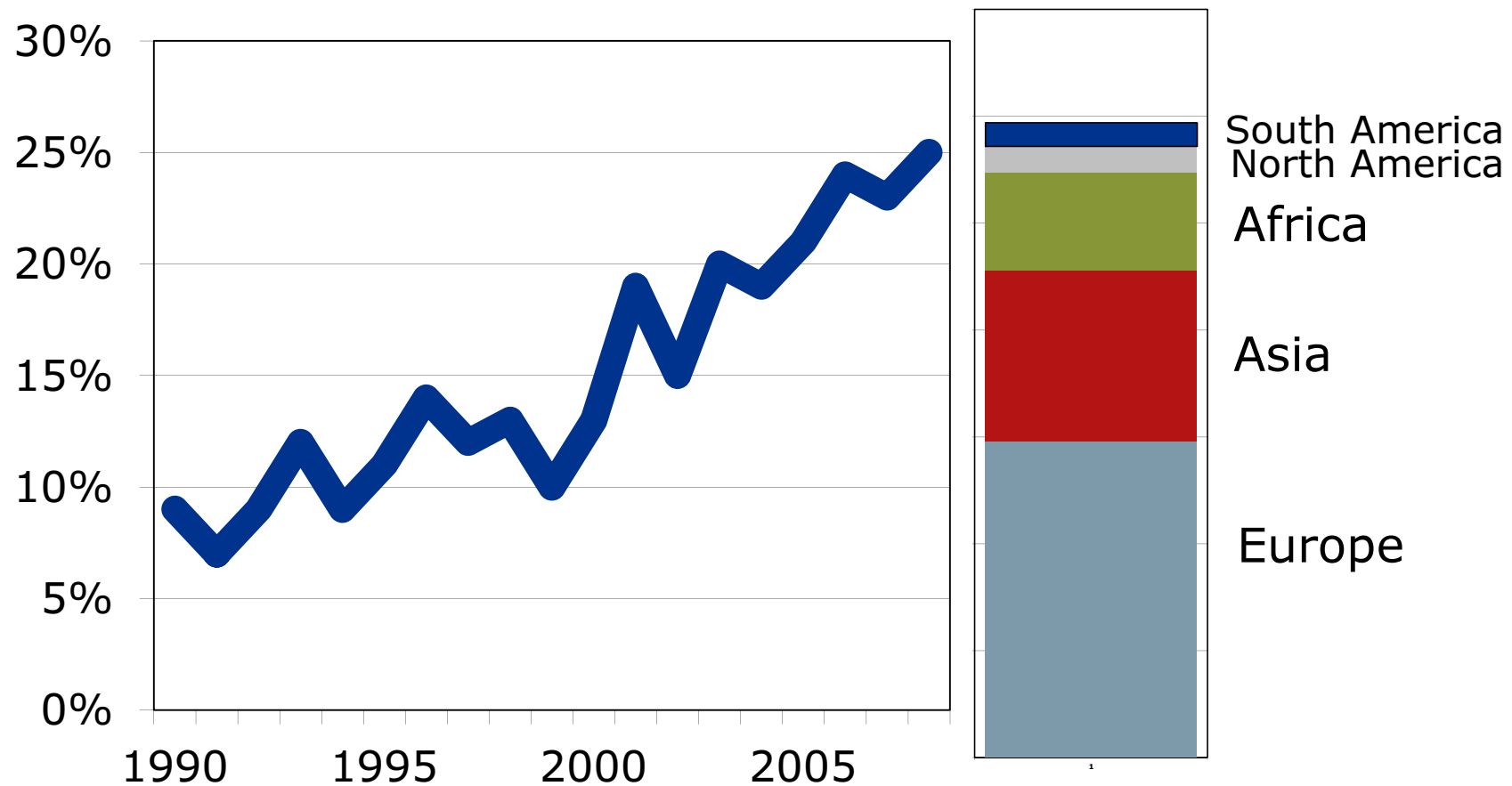
\*CARSA Study on the remunerations of researchers in the public and private commercial sectors Annex 7 141106 for EC

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

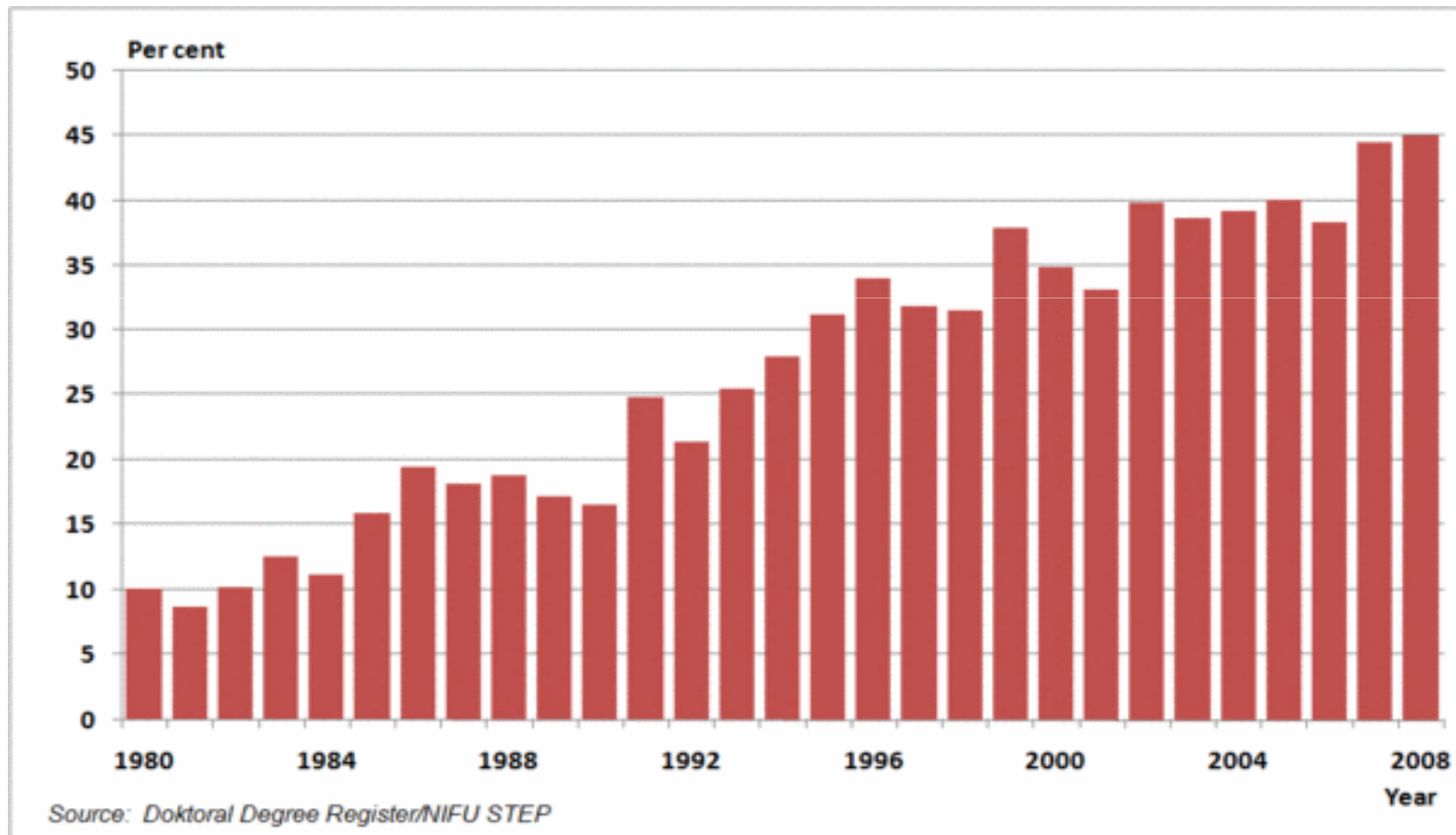


# Outcomes

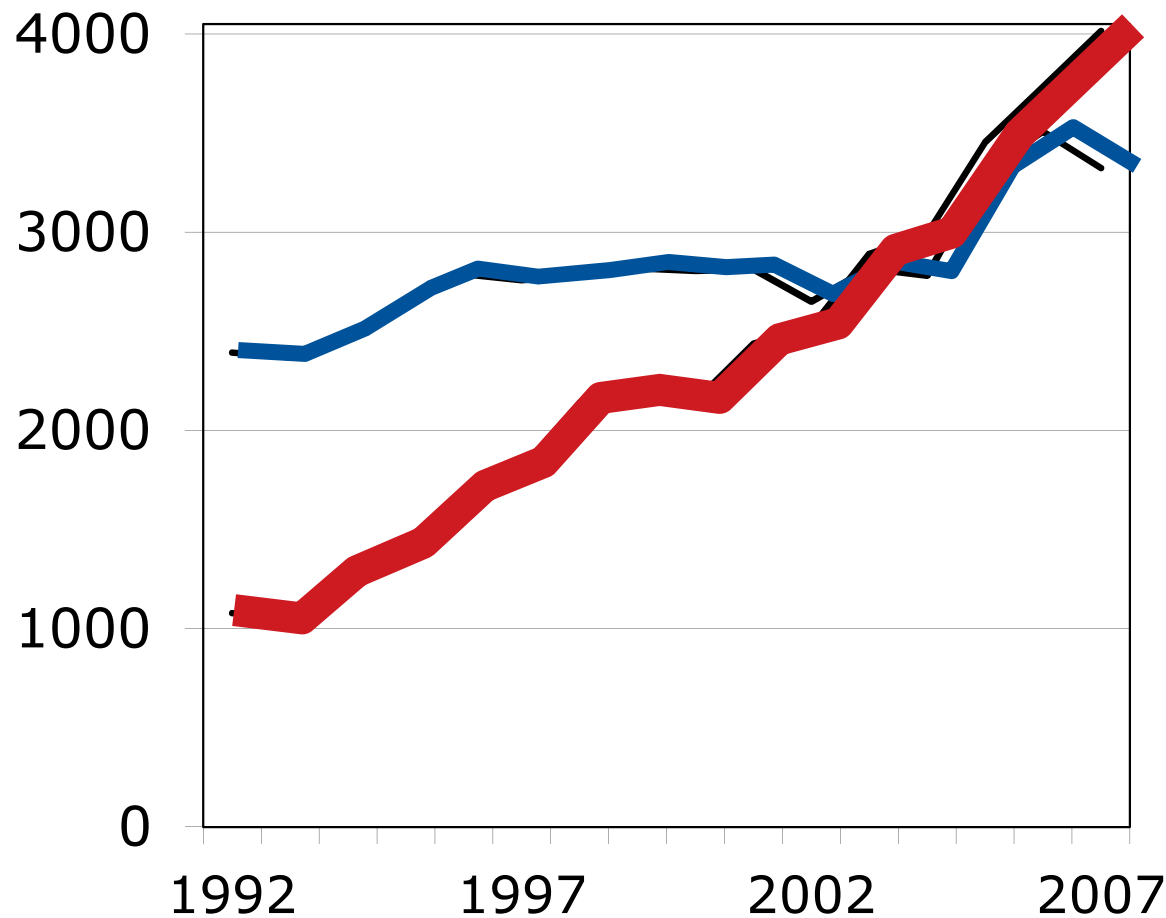
## Norway receives an increasing number of PhD students from other countries



# Doctoral degrees in Norway 1980-2008 - percentage women



## Norwegian research: More international collaboration

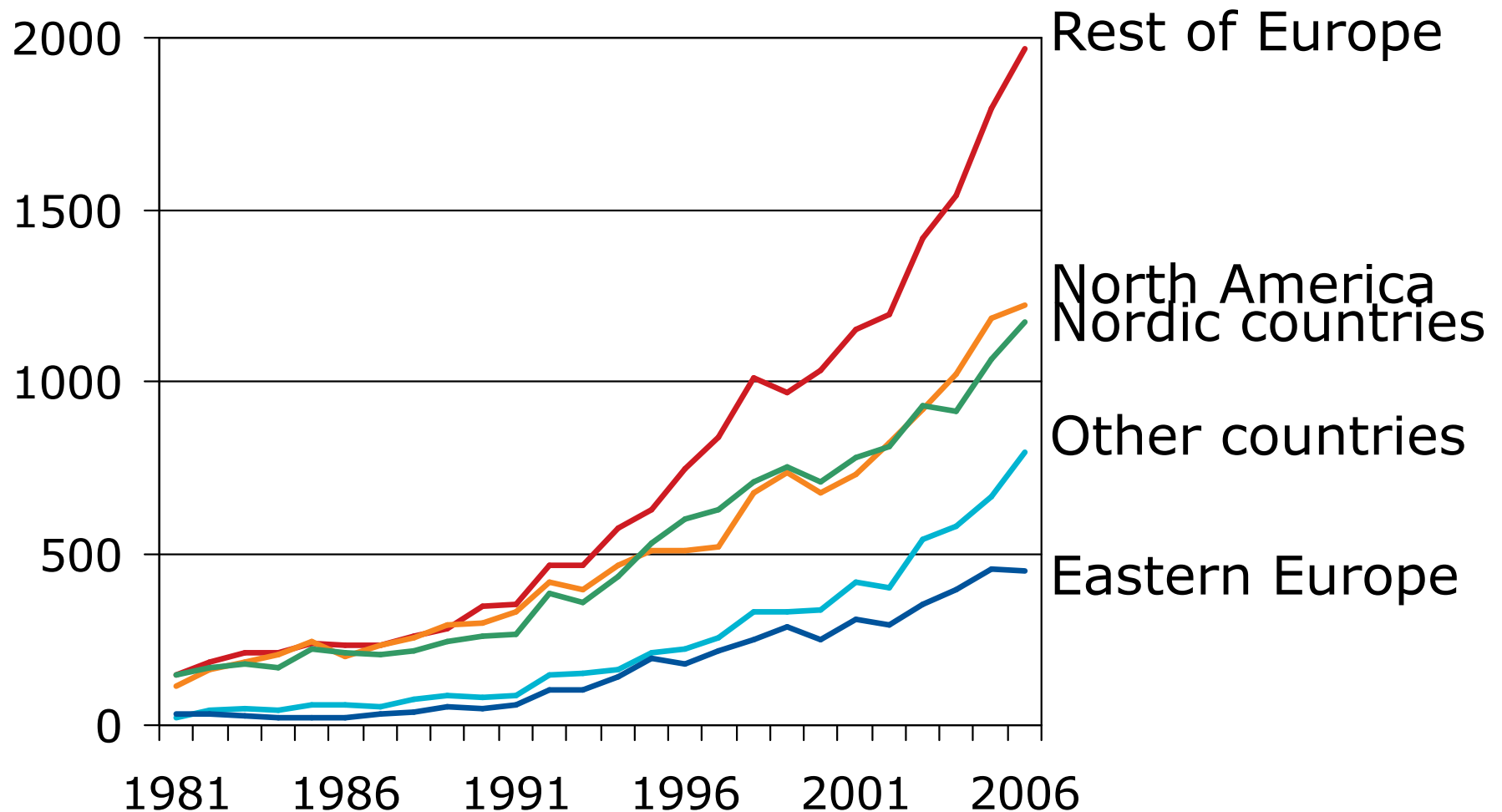


Articles with  
international  
collaboration

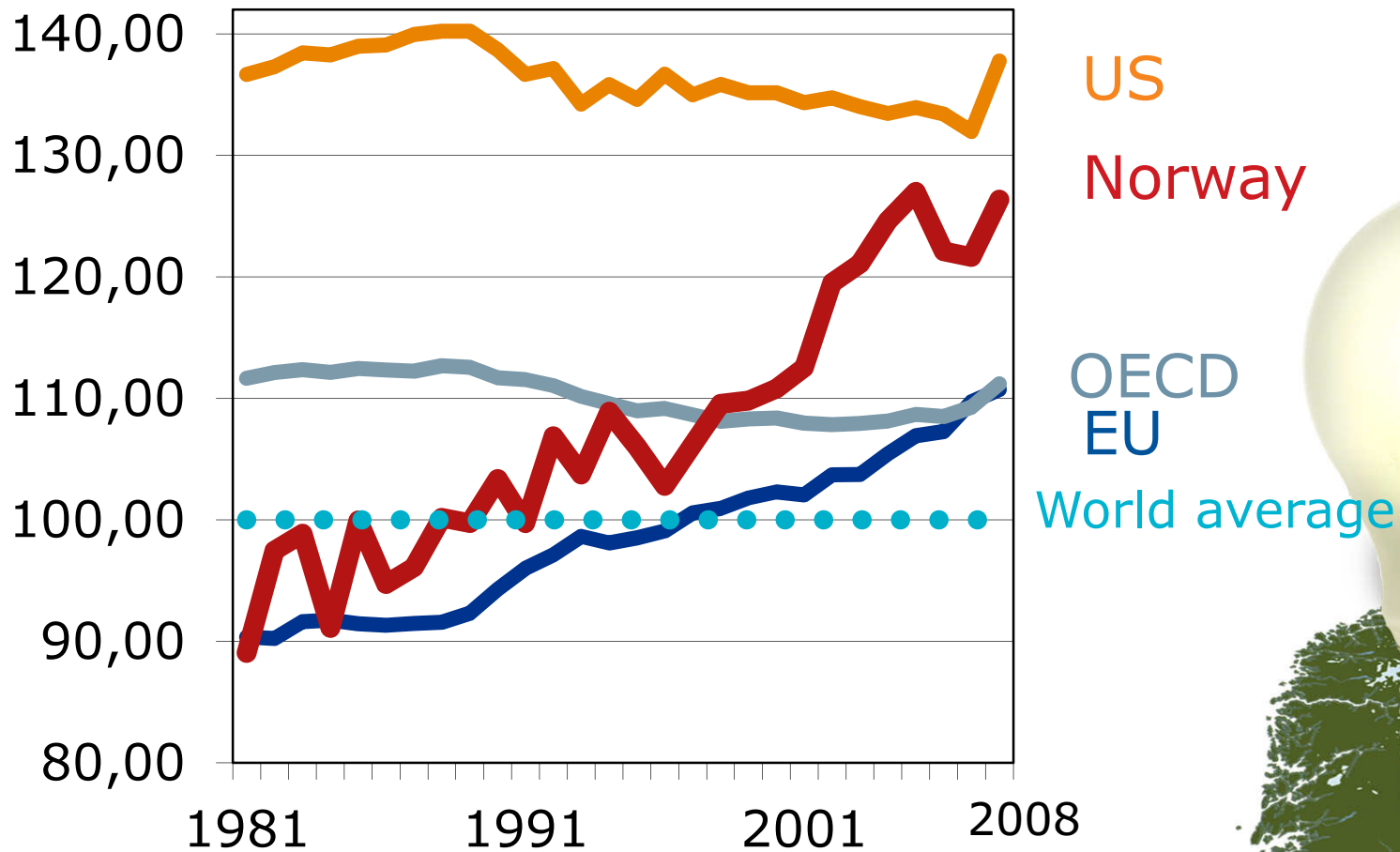
Articles without  
international  
collaboration

Number of  
scientific  
publications  
increased 38%  
from 2005-08

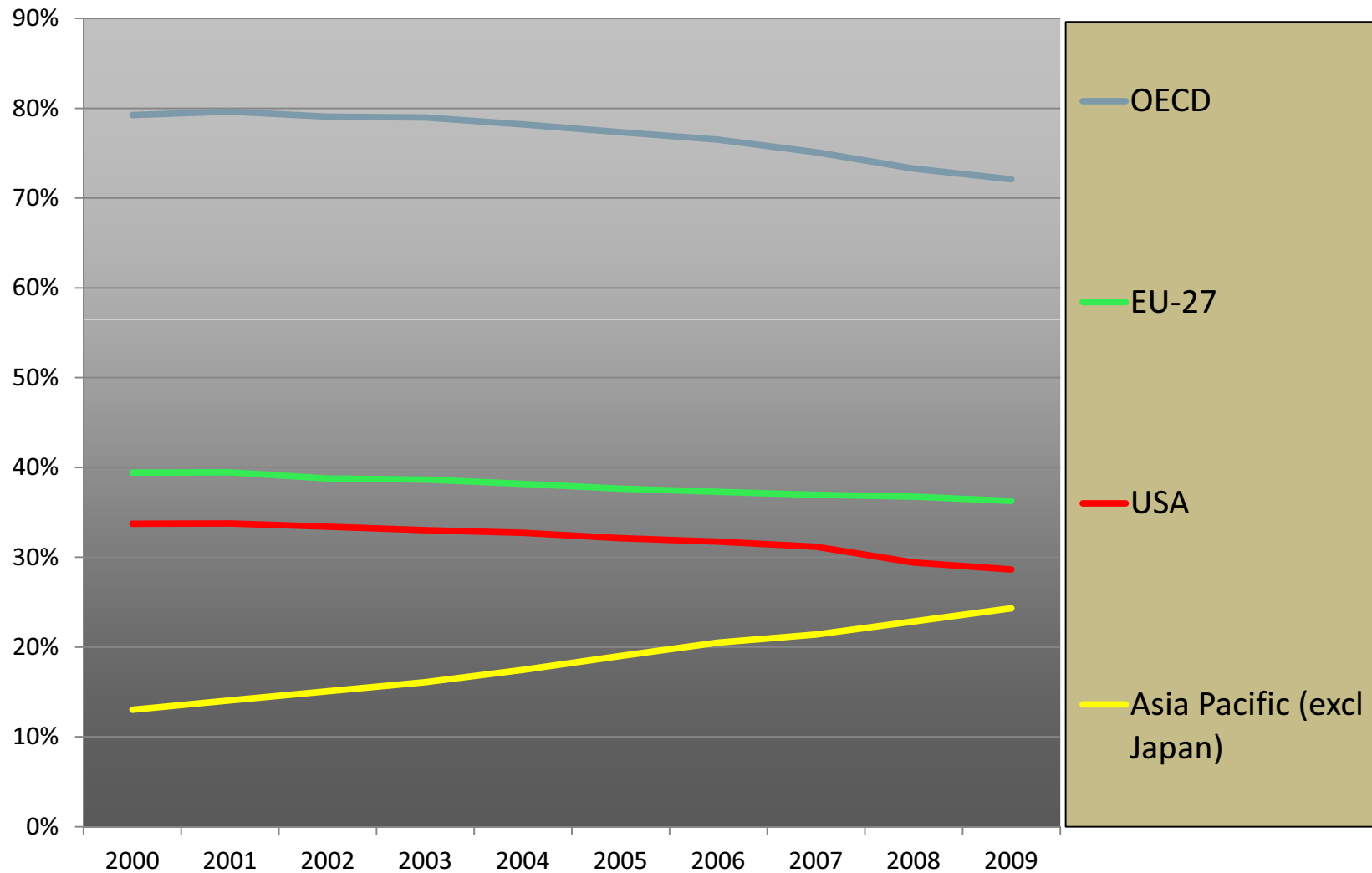
## Scientific articles from Norway 1981-2006: Geographic area of international co-authors



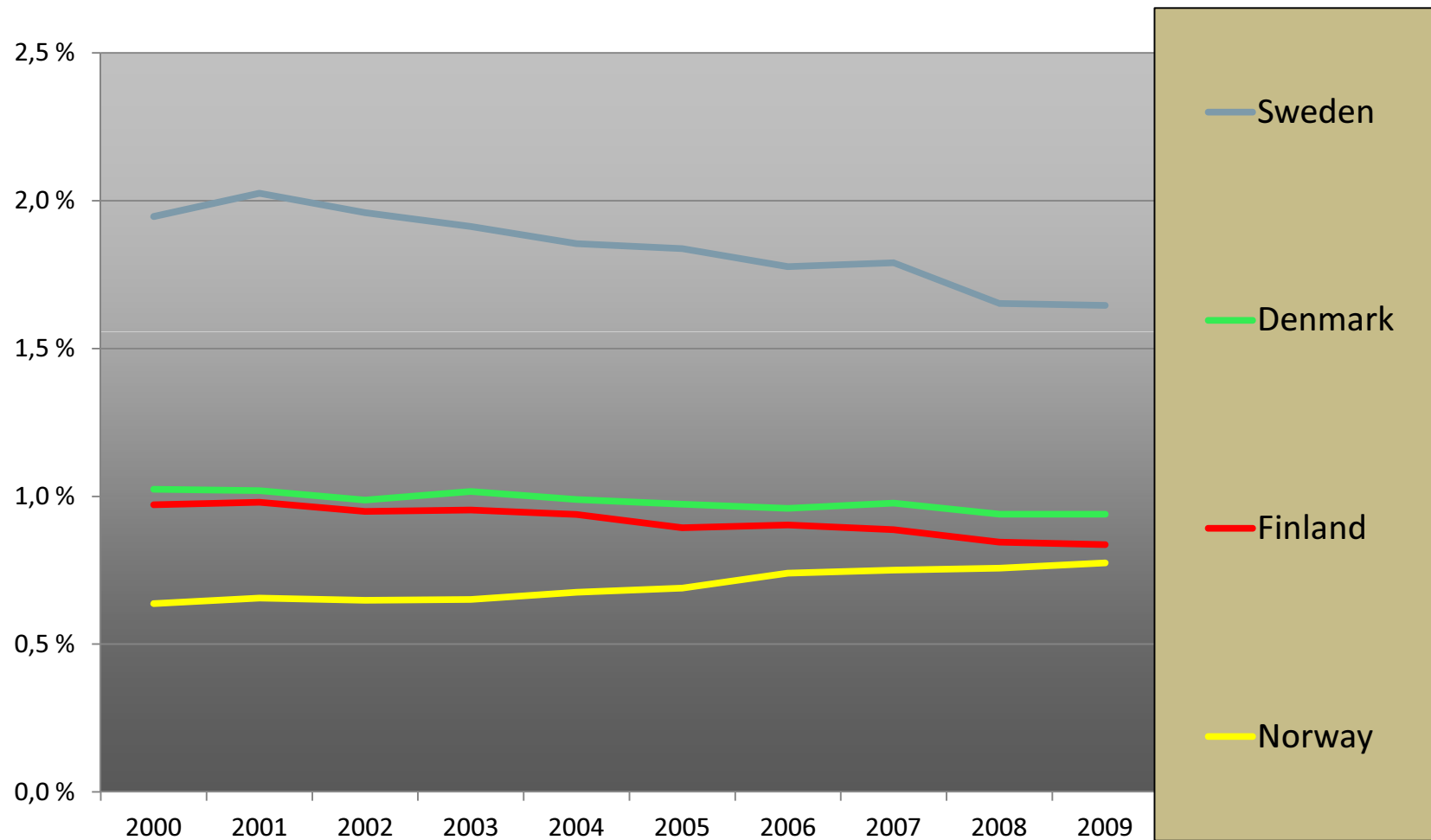
## The Citation index: Internationalisation improves Scientific Impact



## 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**