

Discussed at the meeting of the UL Commission for Research and Development, 17 May 2012

The European Charter for Researchers  
The Code of Conduct for the Recruitment of Researchers

## THE HUMAN RECOURSE STRATEGY OF THE UNIVERSITY OF LJUBLJANA FOR RESEARCHERS CAREER DEVELOPMENT

### **STATUS ANALYSIS**

*UL, March 2012*

#### **INTRODUCTION**

In November 2008 the University of Ljubljana (UL) committed to the principles laid down in the *Charter* and the *Code*<sup>1</sup>. The procedure and plan for drafting the Human Recourse Strategy of the UL for Researcher Career Development were discussed and adopted by the UL Commission for Research and Development at its meeting held on 21 December 2011. At the Rector's college of deans held on 19 January 2012, the Rector presented the activities and called on the deans to cooperate.

The first step to drafting the Human Recourse Strategy of the UL for the Career Development of employed and future researchers was the internal status analysis and identification of deficiencies according to the substance sets of recommendations defined in the *Charter* and the *Code*. The analysis was based on the questionnaire prepared on the basis of an EC<sup>2</sup> draft and supplemented by information on national legislation and regulations applying to the UL. This questionnaire, accompanied by a letter and explanations, was submitted on 17 January 2012 by the Rector to the deans of the UL faculties (academies of arts were exempted). To enable faster and more thorough completion of the questionnaire, meetings were organised in clusters of faculties between 31 January and 3 February 2012. The answers were provided by all the faculties by 6 March 2012.

When classified into substance sets, this discussions and answers related to the principles primarily highlighted the following topics:

- The joint conclusion of the public discussion is that most educational staff is also researchers who welcome the initiative, as it represents an opportunity for all employees to be included in the strategy. At some faculties, employees are also

---

<sup>1</sup> Statement of the Slovenian Rectors Conference, 19 November 2008: Declaration of commitment by the Slovenian universities on the adoption of the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers

<sup>2</sup> EC – European Commission

"pure researchers" and most of them are early-stage researchers included in the national young researchers' scheme.

- The ethical principles of research are not only realised through the Code of the UL, but also within a discipline, as there exist special codes and specialised expert committees for specific ethical issues.
- New employees and students enrolled in doctoral studies have to be acquainted in more detail with the principles and values of the UL defined in the Code of the UL, and should commit themselves to adhere to them. It would also be reasonable to inform students of the first and second cycle about the Code, as well as guest teachers and foreign students.
- Research is regulated by special regulations (from collective agreement to law) and additionally by the regulations of the Slovenian Research Agency (ARRS). In formal legal terms, the funding of research conducted at faculties is not treated as equal to research institutes (financing overheads, material costs, the reimbursement of work-related expenses and other personal income of researchers that are involved in several projects of the ARRS), which has been particularly felt in higher education since 2004, after the change in the system of financing educational activities. Owing to this two-tier legal aspect, the educators and researchers are not on an equal footing and it is complicated to regulate the employment relationships and payments to educators who are also active researchers (usually university teachers and project managers at the same time). The situation is just the opposite of the desired status.
- A problem was highlighted in relation to the (excessive) workload represented by teaching, which is made possible by the Higher Education Act, but in fact results from the Bologna reform of the study programmes. Consequently, there is insufficient time available for research work (given the regulations applying to this issue).
- One of the solutions for the two-tier status is the initiative according to which the possibility of temporarily reducing teaching scope in favour of research would be introduced at the university level. After the completion of the research, the researcher would assume the "previous" position and take up teaching again. This has already been successfully carried out at some faculties (but requires a lot of administration).
- The improvement in research work quality is also influenced by age structure and university or research title. Employees aged between 35 and 45 with the title of assistant professors and associate professors will be further promoted and are highly engaged to meet the election criteria.
- Research funding is becoming increasingly unstable, which leads to fewer recruited researchers, even for a fixed term. Since the UL is a research university, it should have more not less researchers as well as predominantly postdoctoral candidates. According to the existing regulation the academic staff should be at the same time active researchers and due to that employees have different statuses with various workloads. If university professors and assistants are also researchers, the relations would be much simpler (the aspect of systemisation and workload).
- When employing foreigners, faculties still come across numerous administrative obstacles resulting from legal regulation in this area. The procedures are complicated and lengthy.
- The confinement to the national salary system is mainly critical in terms of the recruitment of foreign experts coming to Slovenia as in the framework of some EU programmes (e.g. Marie Curie) is specified how much funds go for personal income.
- For foreigners in particular, the election procedure into a title is very critical and should be adjusted (simplified or even abolished). The UL should introduce "temporary habilitation" that is already applied in research.
- Combining or merging the procedure for the election into a title and the procedure

for filling a job vacancy into a single procedure.

- The system of financing or awarding scholarships to foreign students is not defined and is unstable, though it is necessary for the long-term focus of the UL on the internationalization. Equally problematic is the health insurance system (the procedure and provision of funds for payment), both for the out-going and in-coming students and teachers.
- The possibility of co-financing EU projects, mobility and sabbatical leave lies in the foundations (e.g. the Pahernik Foundation), but is very modest, since the faculty/university market resources are currently allocated to educational activity as a priority.

The substantial analysis of the arrangement at the national level, at the UL and its faculties is provided below.

## THE HUMAN RECOURSE STRATEGY OF THE UL FOR RESEARCHER CAREER DEVELOPMENT

### ***INTERNAL STATUS ANALYSIS AND THE IDENTIFICATION OF DEFICIENCIES UNDER SPECIFIC RECOMMENDATIONS***

## **I. Ethical and Professional Aspects**

The ethical and professional aspects of research work in Slovenia are regulated by the constitution, the laws and the respective codes applying to professional and research areas. The Constitution of the Republic of Slovenia guarantees the freedom of scientific and artistic endeavour (Article 59), as well as the autonomy of national universities and institutions of higher education. Ethical principles are defined in codes of conduct – at the state level for the entire public sector, at the UL level and at the University member - faculty level. The Code of the UL was adopted in 2009. It defines the minimum ethical standards for students, professors and other employees of the UL, which as a public institution strives for good interpersonal relationships, progress and the welfare of the entire community. The Code of Ethics aims to build and maintain high professional and ethical standards among faculties of the UL community, strengthen loyalty, ensure the transparency and social responsibility of the university's activities, and encourage the freedom of research, teaching and learning, as well as promote a positive public image of the UL.

The formal frame is sufficient, but some faculties nevertheless establish that the freedom of research, in particular in the humanities, could be considered ethically questionable as it deals with problems and issues that are important for society, marginal and represent a problem. It is therefore important to continuously communicate research topics, findings and outputs to the general public and, by disseminating science, contribute to the increased awareness of the importance of research and the progress of society as a whole. Research within the UL could be centrally disseminated through the University General Administration Office. The faculties believe that above all there is a lack of general awareness in the part of researchers and students about ethics in research, that individuals should be more committed to compliance with the Code of Ethics of the UL and to bearing responsibility in the event of unethical and unprofessional conduct. Faculty commissions should be established to examine the adequacy of all research that is planned or carried out by the respective faculty employees or students.

The national regulations properly regulate the system of national programme research scheme or applied contract research, monitoring the implementation of the contractual and legal obligations, the supervision of the use of public and other funds, the dissemination of research outputs and intellectual property rights. Still, the faculties are of the opinion that it would be necessary to improve and standardise the information support, ensure prompt informing about novelties and contractual obligations, train researchers for project

management and systematic informing of the academic, professional and general public about scientific and research achievements.

*The status of each specific principle and the recommendations of the UL faculties are given below.*

### **1. Research Freedom**

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene the recognised ethical principles and practices that researchers have to adhere to.

The formal frame providing for research freedom is sufficient and adequate, but some faculties nevertheless establish that the freedom of research, in particular in the humanities, could be considered ethically questionable as it deals with problems and issues that are important for society, marginal and representing a problem.

#### *Comments and proposals of the faculties:*

*The Faculty of Arts – Research freedom in humanities can often be considered ethically questionable, since it deals with problems and issues that are important for society, marginal and representing a problem.*

*The Faculty of Arts and the Faculty of Theology – Research topics should be presented to the general public and by disseminating science it is necessary to contribute to a greater awareness of the importance of research and the progress of society as a whole. Research within the UL could be centrally disseminated through the University Secretariat.*

*The Faculty of Pharmacy, the Faculty of Health Sciences and the Faculty of Education – Establishing faculty ethics commissions to examine the adequacy of all research that is planned or carried out by the respective faculty employees. Preparing lectures on freedom and ethics in research for all researchers.*

*The Faculty of Social Work – Certain tasks related to project supervision/administration and management would be included in the Rules on the Organisation of Research and Development (the proposal is partly covered by item 3 as well).*

### **2. Ethical Principles**

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s), as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.

In 2009 the UL adopted the *Code of Ethics*, which defines the minimum ethical standards for students, teachers and other employees of the UL, which as a public institution strives for good interpersonal relationships, progress and the welfare of the entire community. The Code of Ethics aims to build and maintain high professional and ethical standards among faculties of the University community, thereby strengthening loyalty to the UL. In addition to the Code of the UL, the faculties also adhere to professional codes adopted and implemented in specific disciplines. To improve the situation, the faculties propose a more detailed informing and the commitment of every member of the UL, especially doctoral candidates and second-cycle students, to adhere to the ethical principles. Some faculties are considering the appointment of a faculty ethics committee and introducing the sanctions in the event of a breach of ethical rules.

Comments and proposals of the faculties:

*The Biotechnical Faculty, the Faculty of Computer and Information Science, the Faculty of Medicine, the Faculty of Pharmacy – The inclusion of an article on acquaintance with the Code of the UL in the employment contract. Informing students about the Code of Ethics of the UL.*

*Examining the possibilities of sanctions in the case of a breach of ethical rules. A signed statement of doctoral candidates that they have been informed about the Code of Ethics of the UL, before they argue their thesis.*

*The Faculty of Chemistry and Chemical Technology – It added a proposal to study the possibility of an agreement with educators (a gentleman's agreement) that at the age of 65 they would stop teaching and would continue their career as researchers only.*

*The Faculty of Civil Engineering and Geodesy – Preparation of the integrity plan at the UL.*

*The Faculty of Social Sciences – Various disciplines should be invited to discuss the professional standards of different sciences.*

*The Faculty of Social Work – The Code of Ethics of the Social Workers of Slovenia contains a number of provisions that could reasonably be applied to research work and regulates many questions of intrusion into users' lives (e.g. the provision of privacy, anonymity, personal data protection and similar). The opinion of disposition assessors should be sufficient in the verification of the adequacy of doctoral thesis that does not cover an interdisciplinary study in the field of medicine or psychology.*

*The Faculty of Health Sciences and The Faculty of Social Work – The establishment of the Ethics Commission by the respective member.*

### **3. Professional Responsibility**

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed is explicitly quoted. If any aspect of their work is delegated, researchers should ensure that the person to whom it is delegated has the competence to carry it out.

Professional responsibility is related to the adherence to ethical principles that are defined not only at the level of the UL, but frequently within the respective professional associations. In the event of research for market, professional responsibility is usually defined in greater detail in the contract concluded with the funder/contractor. Regardless of the above, the faculties propose that the existing regulations of the UL should be updated to include the aspect of plagiarism and the protection of intellectual property.

Comments and proposals of the faculties:

*The Faculty of Architecture – Preparing a document on the ethical responsibility of an architect – to be signed upon presenting the diploma.*

*The Faculty of Pharmacy and the Faculty of Civil Engineering and Geodesy – Informing about the responsibility in terms of plagiarism and intellectual property. The UL should provide uniform action in the event of plagiarism and intellectual property theft.*

*The Faculty of Chemistry and Chemical Technology and the Faculty of Computer and Information Science – Combining the procedure for the election into a university teachers, associates or researchers' title with the procedure for filling a teaching or researching job vacancy at a higher education institution. The condition for the above is an amendment to Article 56 of the Higher Education Act that would allow this (NOTE: The job is filled by the candidate who best fulfils the election into a title and other criteria specified in the call for job applications – this means that anyone who applies for the position of a teacher or researcher at a higher education institution shall submit, together with the job application, all the documentation that has to be provided for the election into a title. The procedure for the election into a title is simultaneously carried out for all the candidates for the job. However, the candidate who best fulfils the election into a title and other criteria that may be specified in the call for job application is elected, and an employment contract is*

concluded with this candidate.

Other candidates are thanked for their cooperation and are NOT ELECTED into the requested title that was a condition for occupying the job position. The candidate that the UL is interested in cooperating with occasionally is elected into the title of the so-called "private assistant professor/guest professor", provided they fulfil the relevant election conditions.

The Faculty of Economics – It is necessary to define the (financial) responsibility if the promised results are not achieved (e.g. if the report is rejected by the contractor).

The Faculty of Social Work – The aspects of authorisations for research and research project management have to be regulated in rules that will impose the researcher to appoint a competent person in the event of their absence.

The Faculty of Health Sciences – The establishment of an intellectual property protection commission at the faculties. .

The Faculty of Maritime Studies and Transport – The purchase of the antiplagiarism programme "Turnitin", which is used for students and for articles published by teachers and researchers at higher education institutions.

#### **4. Professional Attitude**

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all the necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

The faculties of the UL independently regulate the research environment and funding mechanisms that are adjusted to the funder and the entity awarding the research programmes and/or projects. Nevertheless, the faculties would like uniform coordination with the funders, especially as regards setting the dates of project and programme duration and the evaluation of research work. The faculties propose an improved flow of information and a uniform remuneration system. Training employees, researchers in particular, about research project management should become a regular practice. At the same time, it would be necessary to simplify the documentation as only in this way will the researchers be able to dedicate the major portion of their time to research.

#### Comments and proposals of the faculties:

The Faculty of Social Sciences, the Faculty of Administration, the Faculty of Civil Engineering and Geodesy and the Faculty of Pharmacy – Strategic goals and financial mechanisms are included in research tenders (e.g. by the ARRS and the EU) that also contain provisions that impose on those responsible to inform the funders about any deviations. A preliminary project estimate including projected inflows and costs is necessary.

The Faculty of Chemistry and Chemical Technology – The presentation of strategic goals to all the target groups in the form of "educational conferences"

The Faculty of Architecture, the Faculty of Pharmacy, the Faculty of Civil Engineering and Geodesy, the Faculty of Arts, the Faculty of Theology and the Faculty of Health Sciences – Better coordination with the funders as regards setting the dates of projects and programmes, an improved flow of information and remuneration. Training employees about research project management is necessary; occasional invitations to companies that are engaged in research management. The documentation should be simplified so that the researchers can devote more time to research. It is necessary to establish a comprehensive, transparent and centrally managed information system for monitoring projects (an on-line computer system should be put in place, accessible to project managers by a password, for monitoring the financial status of projects. In this way, project managers would have a clear overview of the consumption, available funds and project changes).

The Faculty of Arts – Researchers have to be properly motivated; consideration about the possibility of combining research and educational work or dealing only with research for a period of the project duration. Contracts for the project duration are suitable if tenders are constant.

The Faculty of Computer and Information Science – The abolishment of time restrictions for fixed term employment; equalising the rights from such employment with those under permanent employment (loans). Promoting research by means of financial incentives (rules are in preparation).

## **5. Contractual and Legal Obligations**

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes intellectual property rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc.) as set out in the terms and conditions of the contract or equivalent document.

Both the UL and the faculties have ensured that the researchers are familiar with the national, sectoral and institutional regulations. All the regulations are available to the public online, though the faculties would like a university regulation on intellectual property protection, since the Statute does not regulate this issue.

### Comments and proposals of the faculties:

*The Faculty of Arts – Upon the commencement of work, every researcher is familiarised with all the significant documents that affect their work. The outputs submitted by a researcher at the end of the research have to be recognisable in society at large. It is necessary to determine the holder of intellectual property rights and the rights arising from funding research to obtain such rights. It is also necessary to speak publicly about the fact that the researchers carry out research for the progress of society and for welfare those results in the progress of society at all levels. Effort should be devoted to increasing the visibility in the academic sphere and the economy sector, to promote mobility between the two and organise more events focusing on the visibility of research achievements of the UL.*

*The Faculty of Social Sciences, the Faculty of Pharmacy, the Faculty of Natural Sciences and Engineering, the Faculty of Architecture, the Faculty of Civil Engineering and Geodesy, the Faculty of Theology, the Faculty of Health Sciences and the Faculty of Chemistry and Chemical Technology – Most mandatory regulations are stated in the tenders and contracts about projects (especially by the ARRS and the EU). Faculties recommended the organised and permanent informing of researchers and students about the regulations (especially novelties) and obligations (on the website, in the form of workshops, seminars, informative lectures, regular meetings of researchers and in the scope of the international project office) and the regular informing of researchers and monitoring the obligations under contracts with economy sector.*

## **6. Accountability**

Researchers need to be aware that they are accountable to their employers, funders or other related public or private bodies, as well as towards society as a whole on more ethical grounds. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

The faculties usually inform the researchers about all the rights and duties arising from the funding contract. The experience gained primarily in implementing the EU projects show a preference for a greater flexibility of funds allocated to various items and the effective supervision of the use of funds to improve the efficient use of taxpayers' money without unnecessary bureaucratisation, which in these times has an excessive impact on the substantive work of the researchers – at all levels. To perform work efficiently, a researcher needs expert support in activities that are not directly related to research work. The goal is to arrange administrative and financial issues before any complications arise. To this end, the faculties propose that the UL introduces permanent warnings and training for researchers and that it upgrades the suitable uniform supervision at the University level.

### Proposals and comments of the faculties:

*The Faculty of Arts, the Faculty of Pharmacy, the Faculty of Architecture and the Faculty of Theology – At the start of research, the researchers are usually informed about all the rights and duties arising from the funding contract. A greater flexibility of funds allocated to various items and effective supervision of the use of funds to improve the efficient use of taxpayers' money without unnecessary bureaucratisation, which in these times has an excessive impact on the substantive work of the*

researchers – at all levels. To perform work efficiently, a researcher needs expert support in activities that are not directly related to research work. The goal is to arrange administrative and financial issues before any complications arise. To this end, it would be necessary to introduce permanent warnings and training for researchers and a suitable uniform supervision at the level of the UL.

*The Faculty of Civil Engineering and Geodesy – Providing funds for project co-financing (primarily for projects funded by EU).*

*The Faculty of Chemistry and Chemical Technology, the Faculty of Computer and Information Science and the Faculty of Medicine – Researchers should sign a confidentiality agreement obliging them to protect business secrets related to the implementation of contracts for economy sector before they commence work under the respective contract.*

*The Faculty of Mathematics and Physics – The sole purpose of the use of funds is to achieve the goal defined in the research project.*

*The Faculty of Social Work – Connection with the Social Science Data Archive (ADP) of research data in social sciences, which has been designed for public use.*

*The Faculty of Health Sciences – It is necessary to formulate internal faculty rules about the method of keeping documentation related to scientific research and project work. The information and financial (electronic) system would have to be redesigned to ensure a high level of connectivity between the various information systems.*

## **7. Good Practice in Research**

Researchers should at all times adopt safe working practices, in line with the national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and should undertake the necessary steps to fulfil them at all times.

The national regulations on occupational safety, health and the protection of confidential and personal data provides a solid basis for institutional arrangement. For this purpose, the faculties ensure that all the employees and students are informed, especially about the conditions of ensuring occupational safety and health (above all in the laboratories). Nevertheless, they would like more workshops and informative lectures and suitable instructions in the form of leaflets and similar. Data developed within the context of local databases as a result of research work (lab logs and similar) must be regulated at the level of the UL.

### Comments and proposals of the faculties:

*The Biotechnical Faculty, the Faculty of Health Sciences, the Faculty of Arts, the Faculty of Pharmacy and the Faculty of Medicine – Supplementation of the Rules on Documentary Material Management of the UL or drafting new special rules on managing local databases that are the result of research work (lab logs and similar), according to the standards and rules about the safe-keeping of the documentation related to scientific research and project work (organising documentary and archive material).*

*Ensuring appropriate working conditions, financial bonuses and work-free days due to working with hazardous substances.*

*The Faculty of Civil Engineering and Geodesy, the Faculty of Maritime Studies and Transport, the Faculty of Arts, the Veterinary Faculty and the Faculty of Pharmacy – Informing all researchers about work conditions, especially the conditions related to occupational health and safety (risk assessments for individual jobs). Organise workshops and informative lectures for this purpose and prepare appropriate instructions/material (if not yet drafted).*

*The Faculty of Social Work – It is necessary to supplement the Data Protection Rules of the UL and the ADP in terms of data protection.*

## **8. Dissemination and the Exploitation of Results**

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if

appropriate, commercialised. Senior researchers especially are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

The UL has adopted the Rules on Invention and Industrial Property Rights Management, but the faculties would like it to prepare rules on intellectual property rights and related rights management. A special Technology Transfer Office has been set up for the purpose of commercialisation, but it should be stressed that research work at universities is mainly targeted at the creation of new knowledge and findings, and not commercialisation. The faculties would like more assistance and incentives for research commissioned by economy sector and others from private sector. They would also like the public to be systematically informed by the UL (the promotion and dissemination of achievements), which would contribute to the greater visibility of research work within the faculties and the community, on an international scale as well.

Comments and proposals of the faculties:

*The Biotechnical Faculty, the Faculty of Medicine, the Faculty of Civil Engineering and Geodesy, the Faculty of Chemistry and Chemical Technology, the Faculty of Natural Sciences and Engineering and the Faculty of Economics – Drafting the rules on intellectual property and related rights management of the UL. The possibility of financial support when transferring research results into practice. Assistance in commercialisation. Promoting research commissioned by contractors other than budget users, also by means of financial incentives (e.g. when appropriating funds for individual research work).*

*The Faculty of Arts, the Faculty of Maritime Studies and Transport and the Faculty of Social Work – Arranging a public communication system at the level of the UL, encouraging researchers to disseminate their ideas and achievements (as their commitment), proposing funds for dissemination, organising events to promote research work and dissemination of results, granting awards to the best researchers, increasing the visibility of research work within the faculties (necessary to boost the students' quality of knowledge), integrating research findings into educational work, promoting the importance of knowledge in companies, a greater presence on the market, the mobility and internationalisation of research work, etc.*

*The Faculty of Economics – An additional financial bonus for researchers' publications; one of the methods for informing the public is to ensure that, for enrolment in the second year, PhD students present the doctoral thesis to the department members and once a year give an account of the progress of the preparation of the doctoral dissertation; participation in scientific-research seminars, etc.*

*The Faculty of Architecture and the Faculty of Administration – Preparing supplements to the standards for election into an academic or research title with an emphasis on the visibility indicators of a scientific-research work and the connection between scientific and art work (in architecture); adequate valuation of research and educational work, i.e. the teaching-research ratio (PRK), which all professors and researchers should report on annually.*

*Faculty of Health Sciences – The establishment of a repository of scientific works and the provision of access to published works outside the database collection system (WoS).*

## **9. Public Engagement**

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

In line with the contractual commitments, researchers ensure good communication concerning research activities (especially in relation to EU projects). For the most part, this activity takes place at the level of a faculty's organisational units, as annual reports are prepared for the funder. It is worth noting the commitment to inform the public at large that is imposed on institutions and researchers by the national regulations on co-financing scientific research (in particular in the category of fundamental research projects). Faculties would like more events where research results can be presented for a greater number of faculties (or scientific disciplines and research areas) at the same time, at the UL (targeted research seminars, workshops, forums, meetings with

economists, open-door days, etc.) and abroad. To this end, it would be necessary to adopt the action plan of the UL that would include website redesign, the consolidation of publishing and the establishment of a special fund for providing scholarships to talented foreign students.

Comments and proposals of the faculties:

*The Faculty of Economics, the Faculty of Administration, the Faculty of Education, the Faculty of Health Sciences and the Faculty of Arts – The organisation of various events to communicate the results of research work: research seminars; semi-weekly seminars on economic and business sciences open to the public (active and passive), research forums demonstrating research results that all the interested publics would be invited to; practical work, public lectures, researchers' day(s), monthly research meetings, cooperation with the economy sector, non-governmental organisations in the communication of results. Drafting the action plan to present the researchers' work to the public at the level of the UL.*

*The Faculty of Architecture, the Faculty of Chemistry and Chemical Technology, the Faculty of Medicine and the Faculty of Health Sciences – Redesigning websites about research and PhD studies to make the information more clearly organised (following the example of foreign universities: Cambridge, ETH, Amsterdam, Gent ...).*

*The Faculty of Civil Engineering and Geodesy, the Faculty of Social Work and the Faculty of Health Sciences – Publications in the Slovenian language - the consolidation of publishing office. Support by criteria for election into a title and rules for PhD studies. Commitment to contributing papers to Slovenian professional magazines.*

*The establishment of a fund of the UL for providing scholarships to excellent students at the UL (domestic and foreign citizens).*

*The Faculty of Computer and Information Science – Co-financing foreign students' PhD studies (Faculty Rules on Study Co-Financing).*

*The Faculty of Mechanical Engineering – Special conditions of the faculty for election into a title.*

*The Faculty of Social Work – Related faculties should occasionally organise events/campaigns to disseminate information about their work in such a way that it can be understood by non-specialists/general public, which would, however, require appropriate resources.*

*The Faculty of Medicine – The establishment of a fund of the UL for providing scholarships to excellent students at the UL (domestic and foreign citizens).*

*The Faculty of Health Sciences – The consolidation of the activity and the organisation of the faculty's publishing office.*

*The establishment of a repository of scientific works and the provision of access to published works outside the database collection system (WoS).*

## **10. Non-Discrimination**

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

The issue of non-discrimination is legally well regulated, both at the national and institutional level. The obstacle most frequently encountered by faculties is the age limit for postdoctoral fellowships co-financed from the budget.

Comments and proposals of the faculties:

*The Faculty of Arts – We believe the issue to be well regulated and we perform the activities in strict compliance with the legal regulations.*

*The Faculty of Health Sciences – The establishment of an Ethics Commission that would annually verify the situation regarding this issue. Proposal: abolish the age limit for postdoctoral studies co-financed from the budget or taxpayers' money.*

## **11. Evaluation/Appraisal Systems**

For all researchers, including senior researchers, employers and/or funders should introduce evaluation/appraisal systems for assessing their professional performance on a regular basis and in a

transparent manner by an independent (and, in the case of senior researchers, preferably international) committee. These evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.

The organisation and activities of the UL and its faculties are governed by both higher education and research laws and by-laws. This duplication provides for a system of various rules to be fulfilled by researchers regardless of the place of their employment. In the faculties' opinion, the rules for the assessment of professional work are well-regulated both at the UL and by its faculties, and they apply both systems. They wish, however, that the educational work of the University's employees and the results of corroboration with the economy and public sector were evaluated more appropriately. The faculties also propose that an incentive and remuneration system should be introduced at the UL to improve the quality of research work.

Comments and proposals of the faculties:

*The Faculty of Education, the Faculty of Theology, the Faculty of Arts, the Faculty of Administration and the Faculty of Social Work – It is necessary to improve the recognition of the success of research work: the introduction of university awards, success in research (the number of contributions in international magazines, monographs, etc.) should be set as a criterion for employee promotion to a higher salary range; the faculties should define the criteria and appropriate evaluation of research work that encompasses the said elements (mobility, raising public awareness, cooperation with international and national institutions, mentorship, project work, management, etc.).*

*The Biotechnical Faculty and the Faculty of Medicine – The work of academic staff is not adequately evaluated in project tenders, since the share of their research work is smaller than that of FT researchers. The conditions, however, are the same for both.*

*The Faculty of Economics, the Faculty of Civil Engineering and Geodesy and the Faculty of Health Sciences – Annual interviews and drafting of the annual research plan for researchers and academic staff, monitoring the implementation of annual plans, the introduction of a uniform indicator system and monitoring indicators at the UL and consequently at the faculties.*

*The Faculty of Chemistry and Chemical Technology and the Faculty of Computer and Information Science – The criteria for election into a title should comprise the results of cooperation with funders other than budget users.*

*The Faculty of Maritime Studies and Transport – The career progression evaluation and assessment procedures pursue the tasks imposed by the relevant international convention.*

## II. Recruitment

Recruitment by the UL and its faculties is organised in line with the national regulations that comply with all the recommendations stated in this section. We can say that this area is regulated in such detail that it leaves little room for the specifics of implementing research and higher-education activities (primarily employment for the project duration). This area is additionally regulated by the regulations governing the public sector and the recruitment of foreign citizens. Slovenian legislation regulating the residence and recruitment of researchers has been harmonised with the European regulations, but the procedures are nevertheless complicated, complex in administrative terms and lengthy. A knowledge of the Slovenian language remains a rather common reason for the reduced interest of foreign citizens in working in Slovenia (chiefly in teaching positions).

The procedures after the publication of the call for applications and until candidate selection are public and transparent, in accordance with predetermined general and special employment conditions. A condition for occupying educational and research positions is a habilitation (election into an academic/research title) that stems from an independent procedure and is separate from the employment procedure. This in fact represents an obstacle in the recruitment of early-stage researchers, novices and especially foreigners. The regulations on research activity define the temporary habilitation (title) – a solution that could be adopted by the UL when recruiting novice and foreign educators. Researcher recruitment is related to project duration. That, however, would be facilitated if fixed-term employment is more flexible and if the environment would correspond to that (equal bank and other possibilities to those available to employees with permanent employment – loans, etc.).

The national qualifications framework is in Slovenia still in the formation stage. The adequacy of an educator or researcher candidate's qualifications and knowledge is previously verified in the election into a title procedure, which is a **lengthy** process. In order to increase the internationalisation of the UL and inform foreign citizens about the work and employment conditions, the criteria for election into the title of teachers, scientists and other employees in higher education of the UL, as well as the faculties' attachments to these criteria, should be translated into English. In addition, a list of institutions or diplomas recognised as appropriate or equal to the UL diplomas should be drafted.

*The status of each specific principle and the recommendations of the UL faculties are given below.*

### **12. Recruitment**

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

In recruitment procedures, the UL and its faculties follow the national legislation, which is consistent with the European *acquis* and the recommendations and principles stated in the Code. The recruitment of researchers and educators is related to the academic/research titles that the candidates may obtain only through a special procedure for election into a title. This represents a major obstacle predominantly in the recruitment of foreign experts. The faculties therefore propose that both procedures (election into a title and employment) be combined. Faculties propose also that

the position of novice researcher be added to the job catalogue without a mandatory title. A more permanent solution would be combining the procedure for election into the academic/research title (habilitation) with the procedure for filling a teaching or researching job vacancy at a higher education institution. This is related to the amendment to Article 56 of the Higher Education Act. Thus, the candidate who best meets habilitation and other required criteria would be selected for the position. Every candidate who applies for the position of a teacher or scientist at higher education institutions submits a job application and the documentation required for the election into a title. The procedure for election into a title (qualitative assessment of a candidate's achievements) is simultaneously carried out for all the candidates that fulfil the formal (quantitative) conditions for the job. However, the academic/research title is only given to the candidate who best fulfils the habilitation and other criteria that are specified in the call for applications and an employment contract is concluded with that candidate.

The faculties would like the law to provide for more flexible employment (a more flexible labour market conditions) and financial resources to be used in the period between the conclusion of the existing project and entering into a new project. Thus, they would create a more stable environment for the recruitment of researchers.

Comments and proposals of the faculties:

*General proposal (the Veterinary Faculty, the Biotechnical Faculty, the Faculty of Architecture, the Faculty of Civil Engineering and Geodesy and the Faculty of Mathematics and Physics) – The job position of a research assistant, code DM H019001, is included in the attachments to the Rules on Internal Organisation and Job Classification of the UL (GB, 20 January 2011) without the condition of election into an academic/research title (research assistant or assistant). The expansion of the job positions in the job classification for which a valid habilitation title is required limits the possibility of researcher recruitment, increases the costs and prolongs the recruitment procedures.*

*The Biotechnical Faculty, the Faculty of Medicine, the Faculty of Mathematics and Physics and the Veterinary Faculty – It would be necessary to consider the introduction of temporary habilitation for the candidates without the academic/research title. We should be more open and recruit more foreign citizens.*

*The Faculty of Health Sciences, the Faculty of Social Sciences, the Faculty of Pharmacy and the Faculty of Civil Engineering and Geodesy – The human resources management strategy should include an overview of the HR potential within a faculty. The recruitment of new competent leaders and early-stage researchers should include means of programme funding. Various measures should be introduced to reduce the teaching workload of employees and free up their capacity for research. It is necessary to improve the quality of HR management and to apply efficient HR management tools (multi-level interviews, candidate testing, references, etc.).*

*It is necessary to provide a stable research environment for researchers at the UL that is not dependent on project funding alone.*

*The Faculty of Architecture – Harmonisation of the academic staff and researcher recruitment system (salary system, annual workload, etc.).*

*The Faculty of Chemistry and Chemical Technology – Greater flexibility of fixed-term employment would be very useful for more dynamic recruitment at the University. For this purpose, the restriction to fixed-term contracts (currently 2 years) should be eliminated from the Employment Relationship Act (the introduction of the Danish recruitment system, for instance). Such a change could be followed by an agreement with the Bank Association of Slovenia according to which banks would conclude agreements on housing loans with persons under fixed-term employment under the same conditions as apply to permanent employees (banks may collateralise their loans by entering a mortgage in the Land Register, for instance).*

*Faculty of Law – Researchers should be included in faculty life at the start of their research career (mainly doctoral candidates that are active in society and included in the social security system that applies to employees).*

### **13. Recruitment (Code)**

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. All available instruments should be used, in particular international or globally accessible web-based resources. Advertisements should give a broad description of the knowledge and competencies required and should not be so specialised as to discourage suitable applicants. Employers

should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for a reply should be realistic.

The conditions of a call for applications are specified by the national and institutional regulations. According to the Rector's decree, they are published, also on the global websites. They include a draft description of the working conditions and rights, the promotional possibilities specified in the national regulations, the deadlines for publishing a call for applications, for the submission of applications and selection, including the appeal time limits that are laid down by the law.

Comments and proposals of the faculties:

*General proposal (the Faculty of Health Sciences, the Biotechnical Faculty, the Faculty of Chemistry and Chemical Technology, the Faculty of Medicine and the Faculty of Mathematics and Physics) – Research titles adopted by research organisations based on the Rules on Researcher Titles (Official Gazette of the RS, no. 126/08) are required for participation in projects. It is necessary to introduce the foundations for acquiring temporary titles (research and academic) using a fast-track procedure – this would fall within the competence of a dean under the Rector's authorisation – or to enable those that do not have academic/research title at the time to apply for the advertised position.*

*An amendment to Article 63 of the Higher Education Act that would allow for the conclusion of contracts on supplementary work by researchers with an appropriate title. The faculties propose further elimination of administrative obstacles for/when recruiting foreign citizens (taxes, health and pension insurance, apartment rental, etc.).*

*The Faculty of Economics – An international call for applications should be published on all the domestic and foreign portals relevant to researchers and should be forwarded to partner institutions (primarily when recruiting Marie Curie researcher candidates (7. EU framework programmes)).*

*The Faculty of Arts – Global resources may be recruited for some researcher positions, whereas some are restricted to Slovenia.*

*In any case, the faculty would like to offer researchers the possibility of personal and career development, which they are informed about at the very start.*

*The Faculty of Civil Engineering and Geodesy – Providing public and transparent recruitment of researchers and the preparation of the call for applications, which is approved by the commission/department/responsible person.*

#### **14. Selection (Code)**

Selection committees should bring together diverse expertise and competences, should have an adequate gender balance and, where appropriate and feasible, should include faculties from different sectors (public and private) and disciplines, including from other countries, and with the relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. The faculties of selection panels should be adequately trained.

The candidates are selected by a special committee appointed by the faculty dean according to the Rector's decree. The members of the selection commissions are adequately qualified and come from the research discipline that the advertised position refers to. External assessors must take part in the election into a title (habilitation) procedure, when the candidate's qualifications are assessed. Since the election into a title is a mandatory condition for applying for an educational and/or research position, the selection commissions do not comprise any external member. Any candidate that is not selected can appeal under the law.

Comments and proposals of the faculties:

*The Faculty of Social Work – The public international publication of calls for applications: on the website of the UL in the Slovenian and English language, at the Employment Service of Slovenia and the European employment mobility portal EURAXESS.*

*The Faculty of Economics – Foreign candidates: a project manager invites them to a face-to-face interview or skype interview.*

*The Faculty of Pharmacy – The final say in the selection of a candidate should be given to the*

responsible research project manager, who should cooperate with the faculty department for HR.

### **15. Transparency (Code)**

Prior to the selection, candidates should be informed about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

The calls for applications specify the criteria for the selection, the selection procedure, including the deadlines and the number of vacancies, and the contact person for additional information. It is always possible to get insight into internal regulations, including those on career progression, since these regulations are public and thus published and easily accessible. After the procedure, the non-selected candidates may obtain information about why they were not selected and may appeal.

#### Comments and proposals of the faculties:

*The Faculty of Arts and the Faculty of Civil Engineering and Geodesy – In this area, we respect the requirements of the Employment Relationship Act: the public and transparent recruitment of researchers and the preparation of the call for applications, which is approved by the commission/department/responsible person.*

*The Faculty of Chemistry and Chemical Technology and the Faculty of Computer and Information Science – All the possible selection criteria for a teacher or scientist at a higher education institution have to be specified in the call for applications.*

*The Faculty of Administration – Owing to the problem regarding foreigners' habilitation, it would be reasonable for the criteria to be translated at least into the English language and published on the website of the UL.*

### **16. Judging Merit (Code)**

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, and knowledge transfer, the management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

In higher education, expert committees evaluate all expert and research merits qualitatively as well as quantitatively, and in the event of a teaching position (for which the active research activities are compulsory), also the candidate's teaching achievements. This is carried out as a special – election into a title (habilitation) procedure (even if the academic or research title is acquired abroad).

#### Proposals and comments of the faculties:

*The Faculty of Civil Engineering and Geodesy – Who decides on candidate selection? Can this be implemented given the fragmentation of research activity at the UL?*

*The Faculty of Chemistry and Chemical Technology, the Faculty of Computer and Information Science, the Faculty of Medicine, the Faculty of Arts and the Faculty of Theology – The formulation and adoption of the human resources management strategy of the UL, which includes: mandatory training abroad (preferably during PhD studies); setting the criteria for the selection among all who meet the criteria; the selection should comply with the strategy of the UL and faculty.*

*The Faculty of Health Sciences – Uniform criteria should be defined for the UL for assessing candidate adequacy with an emphasis on: a wider range of assessment criteria and appropriate evaluation of the research status compared to teaching, the evaluation of work conducted abroad (e.g. contrary to a teaching position, research work often does not require as much as 3-months abroad.), considering contributions to patents, the number of international and national projects applied and won, transfer to practice, cooperation with foreign companies, exchanges, co-*

*publications with foreign researchers... Publications with multiple authors do not bring less points – support for interdisciplinarity, transdisciplinarity and not only publications under the principle of strengthening individualism "less authors – more points".*

### **17. Variations in the Chronological Order of CVs (Code)**

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

The assessment of a candidate's adequacy for a vacant position considers the whole range of a candidate's experience and knowledge, meaning that any career breaks or a multidimensional career track represents a performance indicator for individual candidates.

*Comments and proposals of the faculties:*

*The Faculty of Arts – It is necessary to promote the mobility and dynamics of a researcher's career, thus providing a greater choice. The necessity of international cooperation under employer - and employee - friendly conditions should be included in the existing rules.*

*The Faculty of Theology – When candidates are evaluated, only their knowledge and experience are considered, regardless of interim breaks.*

*The Faculty of Health Sciences – Uniform criteria should be defined for the UL for assessing candidate adequacy with an emphasis on a wider range of evaluation criteria and appropriate (equal) evaluation of the research status compared to teaching staff.*

### **18. Recognition of Mobility Experience (Code)**

Mobility experience, e.g. residing in another country/region or another research centre (public or private) or the transition from one discipline or sector to another either in the scope of research training or at a later stage in a research career, or a virtual mobility experience should be considered a valuable contribution to a researcher's career development.

The Rules on Internal Organisation and Job Classification of the UL and the job descriptions do not include any special references to the recognition of mobility experience, but that would be necessary given the importance of internationalisation for the further development of the UL.

*The Faculty of Maritime Studies and Transport, the Faculty of Computer and Information Science, the Faculty of Civil Engineering and Geodesy, the Faculty of Chemistry and Chemical Technology and the Faculty of Theology – The internal regulations of the UL should be supplemented by the recognition of mobility experience (both in the academic sphere in Slovenia and abroad, as well as mobility in the public and economic sector); for now, the international mobility criterion is set in the election into a title criteria. The vacancy advertisements should specify that candidate mobility is desired.*

*The Faculty of Health Sciences – In the recognition of experience, it is important to include short-term and frequent residence abroad (the joint drafting proposals of projects, articles, assisting in conference organisation, teaching and transferring method, conducting part of research, setting up pilot systems) – see items 17 and 16.*

### **19. The Recognition of Qualifications (Code)**

Employers and/or funders should ensure the appropriate assessment and evaluation of the academic and professional qualifications, including nonformal qualifications, of all researchers, especially within the context of international and professional mobility. They should inform themselves and gain a full understanding of the

rules, procedures and standard governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

The national qualifications framework (SOK) is under preparation in Slovenia, which is why the procedures for the recognition of nonformal qualifications in higher education are not yet being implemented. Regardless of the above, in the candidate selection procedure, the committee assesses the formal qualifications and the experience stated in the CV or application that is supported by documentation. The adoption of the national qualifications framework will facilitate and partly objectivise this part of the procedure.

Comments and proposals of the faculties:

*The Faculty of Social Work, the Veterinary Faculty, the Faculty of Maritime Studies and Transport and the Faculty of Theology (and all other faculties) – The Rules on Internal Organisation and Job Classification of the UL and the job descriptions should be supplemented by criteria on the assessment of nonformal qualifications (for instance: the Rules on the Authorisations and Ranks of Seafarers). Upon supplementation, it is necessary to consider the simplification of the procedure for the recognition of foreign qualifications or to specify some basic categories that are recognised – it would be reasonable to prepare a similar procedure as the one used for students to recognise foreign education.*

*The Faculty of Chemistry and Chemical Technology, the Faculty of Computer and Information Science and the Faculty of Administration – The faculties should prepare and the Senate of the UL should adopt the lists of faculties and academies and/or disciplines whose expert and scientific or academic titles are recognised by the UL.*

*The Faculty of Mathematics and Physics – Staff are recruited by taking into account the education level, based on which an employee is then classified into a salary range. The faculty does not know how they could consider the recognition of qualifications.*

*The Faculty of Health Sciences – It is necessary to formulate uniform rules of the UL for assessing candidate adequacy, with an emphasis on a wider range of assessment criteria that are different from the habilitation criteria, thus enabling appropriate remuneration and promotion.*

## **20. Seniority (Code)**

The levels of qualifications required should be in line with the needs of the position and not set as a barrier to entry. The recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

The national regulations governing the public sector and, within its scope, the higher education and research area, quite specifically lay down the consideration of work experience needed for a certain position, which is directly related to the complexity of a position. Formal qualifications are determined in the same way. Owing to the diversity of higher education, some solutions applied to research involve double criteria and statuses of teachers who are also researchers, resulting in extensive administration.

*The Faculty of Social Sciences and the Faculty of Arts – An overview of HR projection will be prepared for the period until 2013; it is desirable that the recruited employee develops personally and professionally.*

*The Faculty of Arts – Defining the requirements applying to researcher recruitment in the sense of system harmonisation with the ARRS.*

*The Faculty of Pharmacy and the Faculty of Civil Engineering and Geodesy – The selection of candidates should involve the participation of the personnel department and the use of HR tools.*

## **21. Postdoctoral Appointments (Code)**

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account the time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

In Slovenia there is a national programme for co-financing of postdoctoral training, though this provides for only a small number of trainings (a maximum of 60, depending on the annual national budget). Some opportunities are available in the form of tenders from various foundations, while the UL has not yet introduced this possibility. Most opportunities are available in the scope of the EU Research Framework Programme in particular Marie Curie Action. Recently, the UL and the faculties have intensified their efforts to increase the number of researchers who attend training under these programmes.

According to the adopted regulations, the national and EU co-funding tenders state the criteria and conditions for applying and the purpose of the co-funding. Candidates undergoing postdoctoral training are usually included in research work that is consistent with their area of training. The faculties propose that a university foundation should be established whereby the UL could provide material conditions for the engagement of more postdoctoral candidates and thus facilitate and above all improve the quality of scientific discipline development.

### Comments and proposals of the faculties:

*The Faculty of Arts and the Faculty of Theology – Increasing the integration of postdoctoral students in research programmes and projects consistent with their discipline. In this way we could avoid the problem of the “transition period” and a possible lack of knowledge and skills in research.*

*The Faculty of Civil Engineering and Geodesy – Training is limited to project duration. The possibilities for research job positions in the units that are most successful in the research area.*

*The Faculty of Chemistry and Chemical Technology, the Faculty of Computer and Information Science, the Faculty of Medicine and the Veterinary Faculty – The establishment of a foundation of the UL to provide material conditions for appointing postdoctoral researchers in areas relevant to the development of disciplines at the University for which no other funding is available, and thus enable part of the postdoctoral training in top institutions abroad (the training programme must be consistent with the employer's needs).*

### III. Working Conditions and Social Security

This chapter consists of several sets that may be summarised as follows:

- working conditions and participation in management (creating the research and working environment, stability and permanence of employment, funding and salaries, gender balance, complaints, participation in decision-making bodies);
- professional career (recognition of the profession, career development, the value of mobility, access to career advice);
- intellectual property rights, co-authorship, teaching.

The first set is governed in detail by the national regulations, which are adopted by the internal rules of the UL. The creation of good, motivational conditions for research, research training and more extensive or complex research equipment is mainly related to the available national budget and national priorities. The UL actively establishes connections with the economy sector and applies for programmes within the EU schemes. Project research work is usually related to the prior approval of a project and the provision of funds, while basic scientific research work is related to the approval of a national research programme. The stability of employment is related to the nature of the researcher's work. Those researchers who have the appropriate election into an academic title and take part in the education process are more likely to gain long-term employment. The duration of this employment depends on the periodic external verification of the fulfilment of habilitation conditions – the quality of educational and above all research work of a teacher in higher education who is simultaneously a researcher.

The UL and the faculties strive to increase the scope and quality of research work and therefore promote the winning of new projects in Slovenia and abroad (primarily in the EU). The faculties are aware that the research environment can become even more friendly and thus propose greater flexibility of the labour market, working hours and the introduction of special incentives (including financial) for successful work on research projects.

Funding, including salaries, is regulated by national laws.. This constitutes a rigid system at the UL and a significant obstacle to the recruitment of foreign experts. The faculties and the University therefore propose that higher education should be excluded from the national salary system. That would allow more flexibility in the internal regulations of the UL. The faculties and University propose also the abolishment of the two-tier status, or at least a more congruent arrangement of the research area. There is no special provision for researcher participation in decision-making bodies at the level of the UL, nevertheless in some faculties researchers participate in decision-making bodies such as in the academic assembly.

The law defines the professions of a university assistant, teacher and researcher in higher education as it does a professional career. The formal conditions for career development are specified for higher education as well as research, while the implementation depends on the quality of an individual's achievements and financial options. Recognition of the profession thus depends on the procedure for verifying the fulfilment of predetermined conditions and criteria. Nevertheless, the faculties propose that in order to avoid lengthy procedures, the UL should prepare a list of universities which pedagogical and research titles meet the election into a title criteria of the UL. Researchers' quality assessment procedures cover all their achievements. As research work excellence and internationalisation are crucial development targets of the UL, the faculties suggest that mobility should be adequately defined and evaluated in internal regulations of the University. Access to career counselling and guidance is made possible by the national regulations for both Slovenian and foreign citizens in the scope of the activity of the Employment Service of Slovenia. The UL is establishing a career counselling and guidance system for students that will be upgraded for PhD students in the future, including early-

stage researchers and postdoctoral candidates. The faculties propose that the UL should gradually and over a longer period establish a career advice system for all employees. National regulations govern intellectual property rights. In this scope, the UL has regulated invention and industrial property rights management. The same applies to co-authorship. However, the faculties would like copyright and related rights to be arranged as well.

*The status of each specific principle and the recommendations of the UL faculties are given below.*

## **22. Recognition of the Profession**

All researchers engaged in a research career should be recognised as professionals and should be treated accordingly. This should commence at the beginning of their careers, namely at the postgraduate level, and should include all levels, regardless of their classification at the national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

The professions of researcher, scientist, university assistant and teacher in higher education are defined in the national regulations and adopted in institutional acts. Research work performed independently is valued as such and presented regardless of an individual's status.

*Comments and proposals of the faculties:*

*The Faculty of Arts, the Faculty of Natural Sciences and Engineering and the Faculty of Health Sciences – The rules are clearly defined in the relevant acts (status and remuneration), but it is necessary to define the term "professional".*

*The Faculty of Electrical Engineering – We strive for the recognition and establishment of the profession of researcher in society at large, including in the schooling generations by organising summer schools and workshops for students.*

## **23. The Research Environment**

The employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created that offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.

The creation of good, motivational conditions for research, research training and more extensive or complex research equipment is mainly dependent on the available national budget and national priorities. Occupational health and safety is properly ensured by occupational safety assessments and regulated by employment contracts with researchers/teachers, the ARRS rules on programme/project co-funding and the EU regulations. The faculties would like a more stable research environment (the financing of universities should be equalised with the criteria that apply to research institutes; appropriated assets for periods between projects).

*Comments and proposals of the faculties:*

*The Faculty of Administration, the Faculty of Arts and the Faculty of Computer and Information Science – Occupational health and safety are properly regulated by employment contracts with researchers/teachers, the ARRS rules on programme/project co-funding and the EU regulations.*

*The Faculty of Electrical Engineering and the Faculty of Health Sciences – A study programme funder (state budget) should ensure greater quality and safety by stipulating that laboratory practice groups should include a small number of students and naturally by ensuring adequate funding. Investments in the purchase of research equipment should be increased and a more stable research*

environment should be provided.

*The Faculty of Civil Engineering and Geodesy and the Faculty of Health Sciences – Financial support for sabbatical leave, COST programmes (abolished a few years ago) and other international projects should be arranged.*

#### **24. Working Conditions**

Employers and/or funders should ensure that the working conditions for researchers, including disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with the existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions that allow researchers of both genders to combine family and work, children and career. Particular attention should be paid, *inter alia*, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

*Working conditions for researchers, including disabled researchers, are arranged according to existing legislation and sectoral collective agreements. The legislation already partly allows researchers of both genders to combine family and work, children and career. The national arrangement is adopted in the Statute and other regulations of the UL. In spite of all that the faculties propose that the option of part-time working and tele-working should be included as well.*

#### Proposals and comments of the faculties:

*The Faculty of Administration and the Faculty of Social Work – The employment contracts of educators and researchers comprise tele-working, while flexibility is provided by the internal regulation of the respective faculties.*

*The Biotechnical Faculty, the Faculty of Computer and Information Science, the Faculty of Medicine, the Faculty of Civil Engineering and Geodesy, the Faculty of Mathematics and Physics and the Faculty of Theology – The current working hours are employee-unfriendly, as the educational process and research work occasionally require work until 8 p.m., preventing employees combining family and work, children and career. Tele-working (during mandatory presence) is not permitted and cannot be provided in all cases due to the nature of the research area. The UL should examine the possibility of tele-working and part-time working.*

*The Faculty of Architecture – The habilitation conditions should be supplemented by taking into account the disability level.*

*The Faculty of Law – The inclusion of all researchers (domestic and foreign) in the social security system.*

#### **25. Stability and Permanence of Employment**

Employers and/or funders should ensure that the performance of researchers is not undermined by the instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.

Research work is normally related to the previous approval of the research programme or project and the provision of funds. The stability of employment is related to the nature of the research work an individual is participating in (a research programme can last for 5 years and project work lasts for the duration of the project). Those researchers who have the appropriate academic title and take part in the education process have better opportunity to gain long-term employment. The duration of such employment depends on the periodic external verification of the fulfilment of the election into a title criteria – among them the quality of the educational and above all research work.

The UL and its faculties strive to increase the scope and quality of research work and therefore promote the winning of new projects in Slovenia and abroad (primarily in the EU). The faculties are aware that a research environment can become more friendly and thus propose greater flexibility of

the labour market, working hours and the introduction of special incentives (including financial) for successful work on research projects.

Comments and proposals of the faculties:

*The Faculty of Theology, the Biotechnical Faculty, the Faculty of Computer and Information Science and the Faculty of Medicine – More flexible arrangement of the labour market with the simultaneous promotion of creativity at the University.*

*The Faculty of Health Sciences – a stable research environment (programme funding, appropriated assets for periods between projects, the possibility of equal work for several faculties - , interdisciplinarity).*

*The Faculty of Pharmacy, the Faculty of Health Sciences, the Faculty of Civil Engineering and Geodesy and the Faculty of Mathematics and Physics – They propose that the researcher position should be equalised with that of teachers also in terms of permanence of employment.*

*The Faculty of Electrical Engineering – Researchers should be encouraged to look for new projects (tenders, partners from the economy sector).*

*The Faculty of Arts – Within the period allocated for research work, a researcher should be given everything to make their work more flexible so that they can use all their potential. Thus the University will be more successful in the long-term employment of researchers, giving them more opportunity to exploit their potential and abilities.*

*The Faculty of Social Work – They will strive to recruit researchers on a full time basis where there is a long-term need for research work. For that purpose faculty will devote more attention to systematic good drafting the applications and as a consequence getting research projects. More attention will have to be paid to researcher career planning, even though funding is provided based on limited-duration projects, in cases where the research area is vital for development of the faculty and where the research projects can and must (!) be successive over a longer period; research funding should be consistent with that.*

*The Veterinary Faculty – Fixed-term employment contracts should consider the average scope of project funding in Slovenia.*

## **26. Funding and Salaries**

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with the existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

Funding, including salaries, is regulated by national regulations. This provides a certain degree of stability. The rigid system that applies to the entire public sector represents a considerable obstacle for the UL, mainly in creating more attractive conditions of salaries. The arrangement is particularly problematic in the recruitment of foreign experts. An additional problem arises from the varied regulation of the research area due to the branch collective agreement. The faculties and the University therefore propose that higher education should be excluded from the national salary system which would allow for flexibility of internal regulations of the UL and the abolishment of the two-tier status, or at least a more congruent arrangement of the research area.

Comments and proposals of the faculties:

*The Faculty of Economics – An example of good practice implemented by the faculty: applying the criterion of additional research fund allocation based on publications (defined in the Methodology for Calculating Individual Research Funds); the second example is setting the fund for co-financing the selected and approved projects from the EU framework programme, which would be formed to enable participating researchers to improve the quality of work and development.*

*The Faculty of Health Sciences and the Faculty of Social Work – Providing the payment of sickness benefits and holiday allowance which is not covered by some research projects.*

*The Biotechnical Faculty and the Faculty of Medicine – Mentorship, co-mentorship and publication review (mainly for master's and PhD theses) should be considered as part of the teaching workload.*

*Working mentorship should be defined and evaluated, since it is practiced.*

*The Faculty of Architecture – Harmonising the salary system of pedagogical and research staff. In relevant cases, exercising copyright work created in the course of employment according to the Copyright and Related Rights Act.*

*The Faculty of Electrical Engineering, the Faculty of Pharmacy and the Faculty of Law – If we were excluded from the rigid public servants' salary system, we could attract promising staff and provide a stimulating bonus; in the context of the rational use of public funds, such bonuses could be partly financed from the savings.*

*The Faculty of Civil Engineering and Geodesy – Co-funding sabbatical leave and individual research work.*

## **27. Gender Balance**

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at the supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

The UL and its faculties implement the national regulations and recommendations related to equal opportunities for men and women according to their possibilities and the interest displayed.

### *Comments and proposals of the faculties:*

*The Faculty of Arts – In our opinion the UL and its faculties efficiently implement all the provisions related to equal opportunities for both genders.*

## **28. Career Development**

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with these provisions and arrangements.

The formal conditions for career development are outlined in the regulations, both for higher education and research, while the implementation depends on the quality of an individual's achievements and financial possibilities. Researchers are notified about the career development chances, both general at the UL level and the conditions applicable for the faculties. All regulations are public and included in individual employment contract. Mentors participate in the personal and professional development of researchers. The UL assesses the work quality of the individual researchers it employs regardless of their contractual situation. Upon drafting the further development strategy, the UL plans to prepare an internal act and the annual or multi-annual programme for human resources management. In this scope, it will specify the approach to the introduction and execution of annual interviews and the formulation of proposals for a researcher's career development. Similarly it plans to include human resources in the annual quality assessment by a faculty or the UL as an important element.

### *Comments and proposals of the faculties:*

*The Faculty of Administration – Regular annual interviews, also with educators and researchers, which comprise career development as a mandatory section.*

*The Biotechnical Faculty, the Faculty of Computer and Information Science, the Faculty of Medicine and the Faculty of Social Work – Drafting the Rules on Sabbatical Leave; the founder's funds have to be secured for financing the sabbatical leave.*

*The Faculty of Chemistry and Chemical Technology, the Faculty of Theology and the Faculty of*

*Health Sciences – Determining the strategy and action plan for implementing the HR management and recruitment strategy; proposals for researcher career development should be produced at the level of the UL. Annual interviews with researchers should be introduced and carried out at the level of the UL.*

*The Faculty of Maritime Studies and Transport – The annual quality report should comprise an in-depth assessment of the status and measures in the area of human resources.*

### **29. The Value of Mobility**

Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility, as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires the necessary administrative instruments to be put in place to allow the portability of both grants and social security provisions, in accordance with the national legislation.

Mobility is an important element of the internationalisation and enhancement of scientific-research work quality and thus of professional development. Staff mobility abroad and foreigners' cooperation in the performance of activities are crucial for the development of any university, including the UL. Geographical, intersectoral, inter- and trans-disciplinary mobility represent added value that is considered in the assessment of the quality of a researcher's achievements in the election into an academic/research title procedure. The faculties propose that this activity should be included in the internal regulations of the UL as a condition for a job position and that it be applied as a criterion to candidate selection.

#### *Comments and proposals of the faculties:*

*The Faculty of Administration, the Faculty of Medicine, the Faculty of Theology and the Faculty of Computer and Information Science – It is necessary to determine the meaning of added value that is to be applied as a criterion to staff selection.*

### **30. Access to Career Advice**

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

Access to career advice is made possible by the national regulations for both Slovenian and foreign citizens in the scope of the activity of the Employment Service of Slovenia. The UL is establishing career guidance and counselling system for students that will be upgraded in the future for PhD students, including early-stage researchers and postdoctoral candidates. The faculties propose that the UL should gradually and over a longer period establish a career advice system for all employees.

*The Faculty of Administration – An example of good practice implemented by the faculty for the students: the faculty introduced a career point in the scope of the CDPE (Centre for the Development of Pedagogical Excellence), occasional knowledge transfer among employees using the so-called "knowledge maps" (e.g. about writing articles, applying for projects, SICRIS evaluation (Slovenian Current Research Information System), English for educators, the use of statistical analyses, etc.).*

*The Faculty of Arts, the Faculty of Theology, the Faculty of Natural Sciences and Engineering, the Veterinary Faculty and the Faculty of Health Sciences – Establishing connections between the departments for career and pedagogical advice with the departments for research, international and project activity. Drafting a joint career advice strategy for all employees in particular researchers.*

*The Faculty of Chemistry and Chemical Technology – The introduction of career counselling and guidance for second-cycle students.*

### **31. Intellectual Property Rights**

Employers and/or funders should ensure that researchers in all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

National regulations govern intellectual property rights. In this scope, the UL has regulated invention and industrial property rights management, while the faculties believe it would be necessary to regulate copyrights and related rights at the University level as well, along with a commitment to respect these rights upon the conclusion of employment contracts (restraint of trade). The faculties propose to consistently establish contractual relations with companies by integrating provisions on intellectual property. The faculties propose more researchers' training on intellectual property protection and rights.

#### Comments and proposals of the faculties:

*The Biotechnical Faculty, the Faculty of Computer and Information Science, the Faculty of Medicine, the Faculty of Health Sciences and the Veterinary Faculty – The UL should adopt the Rules on Copyrights and Related Rights and organise the rules on the establishment of university spin-offs and spin-outs.*

*The Faculty of Architecture, the Faculty of Arts, the Faculty of Pharmacy, the Faculty of Civil Engineering and Geodesy and the Faculty of Theology – Researcher training on intellectual property protection and rights should be organised. The consistent establishment of contractual relations with companies by integrating provisions on intellectual property (research work, PhD studies in the event of direct connection with the corporate sector, etc.).*

*The Faculty of Electrical Engineering – The breach of employment contract should be regulated more specifically, in terms of restraint of trade – with reference to the ever more frequent establishment of personal companies by permanently employed researchers who hire their companies as subcontractors and redirect most of the contractual funds to their companies. They acquire a contract under the employer's brand and fully implement it within their private company (on the premises and using the equipment of the employer during working hours).*

### **32. Co-Authorship**

Co-authorship should be viewed positively by institutions when evaluating staff as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc., or to publish their own research results independently from their supervisor(s).

The UL has specifically defined criteria for the evaluation and assessment of an individual's actual contribution to research work or a research project.

*The Faculty of Arts – In this area, the faculties are very active through their publishing activity. The assessment criteria are carefully set in the criteria for the election into a title procedure. The faculty proposes an expansion of the bases providing references for publications and quotes.*

*The Faculty of Administration and the Faculty of Social Work – In the habilitation criteria, co-authorship is assigned the same score, but is not always treated equally because of the provisions referring to primary and leading authors – perhaps this part of the criteria could be revised?*

*The Faculty of Natural Sciences and Engineering – In which cases and under what conditions a researcher may publish independently from their colleagues and supervisors should be clearly defined in UL regulations.*

*The Faculty of Health Sciences – Assessment criteria promote interdisciplinarity and co-authorship in publications, including with other foreign research institutions.*

### **33. Teaching**

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths.

However, teaching responsibilities should not be excessive and should not prevent researchers carrying out their research activities, particularly at the beginning of their careers. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior faculties of staff to training early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

The UL imposes and allows the employees occupying the position of a senior researcher, higher research associate and research associate to teach in undergraduate and postgraduate studies but not the employees on the position of a researcher and a researcher with a master's degree. The faculties propose enabling teaching for these researchers as well as early-stage researchers, with consideration of the restrictions so that they can complete their PhD studies. At the same time they propose that the teaching and research workload of university teachers be more balanced and that researchers and university assistants should be required to undergo andragogical training.

#### Comments and proposals of the faculties:

*The Faculty of Electrical Engineering, the Faculty of Civil Engineering and Geodesy, the Faculty of Pharmacy, the Faculty of Administration and the Faculty of Natural Sciences and Engineering – Early-stage researchers should be included in the teaching process with observance of the restrictions so that they can complete their PhD studies in the approved period. Teaching should be included in the annual action plan and criteria for work evaluation. A career centre should be established for counselling and the guidance of early-stage researchers. Editors of respectable international magazines should be invited to give informative lectures/workshops.*

*The Faculty of Computer and Information Science and the Faculty of Electrical Engineering – Providing the flexibility of fixed-term and permanent employment in the sense of a combination of the two (teacher/research workload and researcher/teaching workload).*

*The Faculty of Health Sciences – Various measures should be applied to reduce the teaching workload of employees and thus increase the available research capacity (e.g. additional recruitments, the involvement of foreign lecturers, etc.), while researchers should be able to teach so that a stable research environment would be provided and research results and findings would be transferred to students.*

*The Biotechnical Faculty – mandatory andragogical training for assistants.*

### **34. Complaints**

In compliance with national rules and regulations, employers and/or funders of researchers should establish appropriate procedures, possibly in the form of an impartial (ombudsman-type) person, to deal with complaints/appeals from researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Complaint procedures are regulated by the national regulations and adopted in institutional regulations. An appeal is possible on every level where an individual's right is decided on. The complaint procedure encompasses the principle of fair and equitable treatment. Non-formal assistance is most frequently provided through the union steward (funded on regular basis), the organisational unit heads, and special ad hoc commissions and similar. At the moment, there is no special advocate – ombudsman or mediator – in the case of disputes (at the faculties or at the UL).

#### Comments and proposals of the faculties:

*The Faculty of Arts – Complaints are resolved at the level of the department in charge of scientific and research work. If the issue fails to be resolved, the vice-dean in charge of the research activity at the faculty examines all facts and decides on the dispute.*

*The Faculty of Chemistry and Chemical Technology and the Faculty of Computer and Information Science – Consistent, individual treatment of every complaint, including complaints by foreigners.*

*The Faculty of Social Work – The faculty will regulate the complaint-related procedures in the new rules that will provide for a special commission composed of a secretary, dean and project team members.*

*The Faculty of Health Sciences – The establishment of a Research and Development Commission and an Ethics Commission.*

### **35. Participation in Decision-Making Bodies**

The employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

In the acts of the UL and its faculties (except for two), researchers are not referred to as a special group of stakeholders entitled to active participation in decision-making bodies. The faculties propose that the UL investigate the possibility of amending the Statute and proposing that the legislator introduce amendments in relation to researchers' participation in decision-making bodies (at least to the Academic Assembly and enabling them to decide on, e.g. the election of a dean or vice-dean for research, etc.).

#### Comments and proposals of the faculties:

*The Faculty of Civil Engineering and Geodesy – Proposal for legislative amendment: early-stage researchers' representation in the Academic Assembly.*

*The Faculty of Chemistry and Chemical Technology and the Faculty of Health Sciences – The inclusion of researchers in the Academic Assembly.*

*The Faculty of Computer and Information Science – The faculty's Rules on Organisation and Performance stipulate that the Academic Assembly is composed of teachers, scientists and assistants.*

*The Faculty of Social Work – A special research and development board that meets monthly, an opportunity to exchange experience and opinions.*

## IV. Training

The UL is a public institution founded by the National Assembly. Therefore, the PhD study system and scientific and research work carried out in the framework of postdoctoral training, research programmes and project work is subject to the national and internal regulations of the University. These regulations define the position, competencies, responsibilities and tasks of the mentors and researchers, including the obligation of mentors and project managers to cooperate directly with researchers, to monitor and guide their work and properly record it. Mentors' tasks are specifically defined and binding in a co-funding contract if the relevant researcher is included in a national programme; this is the case with the "early-stage researcher" and postdoctoral training programmes. Despite the existing regulations, most faculties plan to supplement the internal rules primarily as regards PhD studies, to more specifically define the rights and duties of mentors, co-mentors and PhD students.

The quality of mentors and other persons responsible for scientific and research work is assessed in the scope of the external national system (ARRS evaluation), annual self-evaluations and reports on quality by the faculties and the UL, as well as on the individual level in the procedure of the election into the titles.

Career development options depend on the quality of work performed by a researcher and the availability of (any) funds. The faculties and the researchers alike find that they need additional training and education, especially in areas where they lack knowledge that they will need or already need to continue their career. The discussions on the UL's development strategy highlight this issue as one that urgently needs attention. The short-term action plan should define the preparation and implementation of various additional training options. The PhD study co-funding programmes (both for early-stage researchers and in the scope of innovative schemes) provide funds for participation in conferences and trainings (such as the entrepreneurship programme conducted by the LUI). The faculties will supply much more detailed information on the Code of Ethics of the UL and the discipline they are involved with.

Research work is supervised in line with the national regulations, the regulations of the UL and the rules of the individual faculties, where the sufficient professional qualifications for research supervision are fully respected.

*The status of each specific principle and the recommendations of the UL faculties are given below.*

### **36. Relation with Mentors (Supervisors)**

In their training phase, researchers should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying this feedback and working in accordance with agreed schedules, milestones, and deliverables and/or research outputs.

The communication between mentor/co-mentor and researcher in training has been formally regulated. Nevertheless, the faculties believe that it would be useful to prepare special Rules on PhD Studies to further arrange the rights and obligations of mentor, co-mentor and PhD student. The

records on the progress of research work, in particular project research, and deliverables are kept in line with the regulations and the provisions of the funding contract.

Comments and proposals of the faculties:

*The Faculty of Administration and the Faculty of Health Sciences – Early-stage researchers monthly report to their mentor, they have regular meetings with their mentors, while the vice-dean in charge of research activity meets with them at least once a year; formulating focus groups...*

*The Biotechnical Faculty, the Faculty of Computer and Information Science, the Faculty of Chemistry and Chemical Technology and the Faculty of Medicine – Preparing the Rules on PhD Studies (it is necessary to regulate the rights and obligations of mentor, co-mentor and PhD student); the same applies to undergraduate and master's studies.*

*The Faculty of Architecture – Faculty proposes to establish and develop a system for training researchers' and PhD students' mentors.*

*The Faculty of Arts and the Faculty of Theology – Defining a tutorship system for scientific research work, where the faculty academic staff could function as tutors, giving researchers additional support and guidance in their work.*

*The Faculty of Civil Engineering and Geodesy – Faculty proposes to introduce the obligation of researchers to present their work in seminars.*

*The Faculty of Education – Every faculty should have an institute for scientific research work to unite all researchers and keep records of their research work on one place.*

### **37. Mentorship (Supervision) and Managerial Duties**

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to create the conditions for the efficient transfer of knowledge and for the further successful development of the researchers' careers.

The system of PhD studies and scientific research work that is carried out in the scope of postdoctoral training, fundamental research and project work is governed by the national and internal regulations of the UL. These regulations define the position, competencies, responsibilities and tasks of mentors and researchers, including the obligation of mentors and project managers to directly cooperate with researchers, to monitor and guide their work. In the case of the "early-stage researcher" national programme and postdoctoral training national programme mentors' tasks are specifically defined and binding. The faculties propose special training for mentors and management staff to acquire or improve management skills (communication, solving problems, ethical issues, etc.).

Comments and proposals of the faculties:

*The Biotechnical Faculty, the Faculty of Medicine and the Faculty of Chemistry and Chemical Technology – Internal regulations should regulate the rights and obligations of mentors/co-mentors and students in all three cycles. Training in the field of communication, ethical principles and andragogics, every 3 years for instance.*

*The Faculty of Arts and the Faculty of Theology – The transfer of knowledge to early-stage researchers is necessary for the further development of science. We need a motivation and remuneration system to encourage senior researchers and teachers to transfer knowledge to junior ones, thus providing high quality study and research.*

*The Faculty of Natural Sciences and Engineering – The faculty proposes to integrate these obligations into the Code of Ethics of the UL.*

*The Faculty of Health Sciences – Establishing research groups in the scope of projects - like focus groups.*

### **38. Continuing Professional Development**

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This could be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

PhD students included in the national PhD study co-funding scheme, candidates undergoing postdoctoral training funded by the national budget or the EU funds and early-stage researchers are given funds for participation in professional and above all scientific conferences. This target group is also given management and entrepreneurship training. In the framework of research work, the public presentation of research achievements is usually ensured. There are less other trainings, in spite of the variety of activities organised by the faculties. These mainly focus on the exchange of expert positions and findings, though the faculties and researchers would like to be provided with an in-depth presentation of the *Code of Ethics of the UL*, regular andragogical and project management training and conflict resolution training, which is related to additional funds.

#### Comments and proposals of the faculties:

*The Biotechnical Faculty, the Faculty of Computer and Information Science, the Faculty of Medicine, the Faculty of Social Work and the Faculty of Health Sciences – Training that should become mandatory: early-stage researcher: Code of Ethics; early-stage researcher (if taking part in the teaching process), assistants and others: Code of Ethics, communication and andragogics every 3 years. All University employees should receive funds for additional training. Preferably, training in project management and the resolution of conflicts should be provided as well.*

*The Faculty of Arts and the Faculty of Theology – Researchers and all other employees should undergo additional training and education during this period in areas where they believe they lack knowledge, but which they will need in the future to continue their career. At the start of work, researchers are introduced to the current possibilities of cooperation during the project or after its completion. Based thereon, a strategic plan is drawn up for every researcher, defining additional training and education in greater detail.*

*The Faculty of Civil Engineering and Geodesy – The faculty requires participation in international conferences, which is financially challenging for early-stage researchers.*

*The Faculty of Chemistry and Chemical Technology – The introduction of the so-called pedagogical conferences where the faculties would discuss the issue of study programme implementation, research work, cooperation with sponsors other than budget users, strategic goals, etc. This is one of the possibilities of non-formal training of educators and researchers.*

### **39. Access to Research Training and Continuous Development**

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take-up and effectiveness in improving competencies, skills and employability.

The skill-development and training programmes to improve the opportunity for professional development and thus the employability of researchers and educators are open to everyone regardless of their employment status. The scope and frequency of these training opportunities depend on the funds. These are increasingly limited. That is why the faculties have highlighted this issue as one that urgently needs continuous attention. The short-term action plan should define the preparation and implementation of various additional training options.

#### Comments and proposals of the faculties:

*The Faculty of Arts and the Faculty of Theology – If programmes were carried out to promote the employment and training of researchers, the UL and its faculties could deal with this problem in its essence and with a more structural approach. The faculty proposes that an action strategy for researcher recruitment is formulated.*

*The Faculty of Chemistry and Chemical Technology and the Faculty of Administration – The introduction of a personal annual action plan, regular professional meetings (knowledge map,*

forums).

*The Faculty of Social Work – A special fund should be considered; the provision of funds is a problem.*

#### **40. Supervision**

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer appropriate support for the research trainee and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

Research work is supervised in line with the national regulations, the regulations of the UL and the rules of the respective faculties, with consistent application of the criterion of sufficient professional qualification for research supervision. Nevertheless, the faculties stress that it is necessary to improve the flow of information with an appropriate information system and other means (e.g. an office for researchers), while the responsible person should be neutral and highly familiar with the regulations and rules.

##### Comments and proposals of the faculties:

*The Biotechnical Faculty and the Faculty of Computer and Information Science – The person should be neutral, familiar with the rules and should adhere to the law.*

*The Faculty of Arts and the Faculty of Theology – Because of the division between and excessive workload of departments, the flow of information between departments and researchers is deficient. A special centre should be set up for early-stage researchers where they would obtain all the necessary information and guidelines about their work. This would prevent unfamiliarity with the rules and obligations of researchers and provide for a jointly formulated policy on guiding researchers and the dissemination and utilization of their work.*

*The Faculty of Civil Engineering and Geodesy – A career centre for researchers or an office for researchers should be established.*