

**INTERIM REPORT ON REALISATION AND REVISED ACTION PLAN
 FOR THE IMPLEMENTATION OF THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS (2010-2014),
 for the period between April 2010 and December 2011**

| Action plan | Who? | Deadline | Realisation or corrective measure | Who? | Deadline |
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| <p>Publishing adopted regulations on the website for scientific research and the Rules on Managing Intellectual Property Rights. Publishing the sample employment contract and the conditions of employment in English</p> <p>Forwarding initiatives to the Ministry of Higher Education, Science and Technology for supplementing the training programme for researchers at various career stages during the preparation of the national action plan and the National Research and Development Programme (NRDP); publishing updates on the website for scientific research on a regular basis</p> <p>(5. Contractual and legal obligations/l. Ethical and professional aspects)</p> | UM management and professional services | September 2010 Continuous task until the adoption of the national action plan and the National Research and Development Programme (NRDP) | Partly realised. ¹ | UM bodies - Legal and Human Resources Department (LHRD) | by January 2012 |
| <p>Sending a letter to secretary-generals of faculties entrusting them with the responsibility to monitor the consistent implementation of OSH training and strict adherence to OSH regulations (internal</p> | Secretary-General, Legal and Human | June 2010, exercising yearly controls | No longer pursued. ² | / | / |

¹ Rules on Intellectual Property Management - ready for consideration and adoption by UM bodies.

² Note: Upon examination it has been established that the envisaged unannounced internal controls and the yearly report on the unannounced internal control are not necessary since regular controls concerning occupational safety and health are already conducted (a hired administrator responsible for overseeing the implementation of OSH regulations and an authorized general practitioner).



Univerza v Mariboru

*European Partnership for Researchers
European Charter for Researchers/Code of Conduct for the Recruitment of Researchers
Human Resources Strategy for Researchers incorporating the Charter and Code – ACTION PLAN*



HR EXCELLENCE IN RESEARCH

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| <p>unannounced controls at least once a year; reports on unannounced internal controls and the observations of the Legal and Human Resources Service)</p> <p>(7. Good practice in research/I. Ethical and professional aspects)</p> | Resources Department (LHRD) | | | | |
| <p>Adopting the Rules on Managing Intellectual Property Rights at the University of Maribor</p> <p>(8. Dissemination and exploitation of results/I. Ethical and professional aspects)</p> | TechnoCenter, UM d.o.o., UM bodies | September 2010 | Partly realised-postponed. ³ | UM bodies - Legal and Human Resources Department (LHRD) | by January 2012 |
| <p>Forwarding initiatives to the Ministry of Higher Education, Science and Technology, during the preparation of the national action plan and the NRDP, for supplementing the training programme for researchers at various career stages in terms of training content for the purpose of presenting research outputs to non-specialists; publishing updates on the website for scientific research on a regular basis</p> <p>(9. Public engagement/I. Ethical and professional aspects)</p> | UM management and professional services | 2011 | Realised. | / | / |

³ Rules on Intellectual Property Management - ready for consideration and adoption by UM bodies.



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| <p>Revising appointment procedures in accordance with the Charter and the Code: Evaluation and appraisal systems must take into account the overall research creativity and the whole range of research outputs: publications, patents, management of research, teaching, lecturing, control, supervision, cooperation on the national or international level, administrative duties, public awareness activities and mobility (international and cross-sectoral) as well as other administrative responsibilities.</p> <p>Promotion procedures will be revised both for teachers engaged in research and for researchers without teaching responsibilities.</p> <p>In order to assess the professional performance of senior researchers on a regular basis and in a transparent manner by an independent (and preferably international) committee in line with the recommendations, we will be exploring the possibility of introducing such changes during the first four years.</p> | <p>Appointment Committee and the UM Senate on the proposal of UM members.</p> | <p>2011</p> | <p>Realised. ⁴</p> <p><u>Additional activities planned:</u></p> <p>In 2012, two meetings of this work group (»peer review«) will be organized.</p> | <p>/</p> <p>UM professional services and relevant Vice Rectors.</p> | <p>/</p> <p>First three months of 2012 - first meeting December 2012 - second meeting</p> |
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⁴ New rules on appointment procedures were adopted. Rules for the evaluation of researchers, teachers and other employees in higher education will also be specified in detail.

When evaluating the regular professional performance on a yearly basis, researchers with teaching load and/or senior researchers are also evaluated according to criteria that are taken into account when advancing to a higher pay grade. On the basis of research creativity, performance or promotion bonuses are either rejected or approved. In the promotion procedure, scientific creativity is evaluated by an external examiner. In the appointment procedure, scientific work is also evaluated by a foreign examiner from the relevant field, who must compile a written report.

The database ARRS-SICRIS ensures that research creativity is evaluated objectively and transparently. Candidates who wish to be appointed to higher faculty ranks are evaluated according to their publications in international JCR journals with high impact factors, while also taking into account the number of citations (starting with the first publication for the PhD degree). In 2011, the university put together a team of international experts from various fields who will be engaged in "peer review".



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| (11. Evaluation and appraisal systems/I. Ethical and professional aspects) | | | | | |
| <p>Adopting a uniform selection procedure for the recruitment of researchers in terms of working conditions and obligations, including promotion prospects</p> <p>Calling attention to systemic issues concerning the recruitment of foreigners, in particular during the preparation of the national action plan and the NRDP</p> <p>Internal instructions for recruiting researchers will be supplemented with a description of the uniform selection procedure, which means that information on working conditions and entitlements, including promotion and career development prospects, will also be included in job advertisements published in Slovene and English.</p> <p>Internal instructions will provide for informing candidates about the selection procedure and the recruitment process prior to selection and about the advantages and disadvantages of the position after the selection.</p> | LHRD on the basis of a proposal made by UM members | December 2010 (continuous tasks until the adoption of the national action plan and the NRDP (2011)) | Realised. | / | / |
| (13. Recruitment (Code)/II. Recruitment) | | | | | |
| Examining the possibility of adapting selection procedures in line with the recommendations on the establishment of committees according to the | LHRD on the basis of a proposal | December 2011 | No longer pursued.⁵ | / | / |

⁵ Upon examination it has been established that modifications are unnecessary since existing internal rules and instructions ensure appropriate selection procedures.



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| representation of scientific disciplines; exploring funding issues for members from abroad with the intention of regulating the selection procedure for researchers, which is currently conducted at faculty level (14. Selection/II. Recruitment) | made by UM members | | | | |
| Supplementing internal instructions with the following: <ul style="list-style-type: none"> - information on working conditions and entitlements, including promotion and career development prospects, published in advertisements (in Slovene and English); - selection procedure that includes a description of career development prospects and alternatives ensuring that candidates will be informed about the course of the procedure either in Slovene or English (15. Transparency/II. Recruitment) | LHRD on the basis of a proposal made by UM members | December 2010 | Partly realised-postponed.⁶ | UM professional services | December 2012 |
| Supplementing internal instructions in terms of the selection procedure, as described in 16./II. of the Charter and the Code; appointing qualified or competent faculty staff (defining required knowledge and experiences) (16. Judging merit/II. Recruitment) | LHRD on the basis of a proposal made by UM members | December 2010 | No longer pursued.⁷ | / | / |

⁶ Websites will be updated so that relevant internal rules will also be available in English.

⁷ Upon examination it has been established that modifications are unnecessary since existing internal rules and instructions ensure appropriate selection procedures.



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| Supplementing internal instructions in terms of the selection procedure, as described in 16./II. of the Charter and the Code; appointing qualified or competent faculty staff (defining required knowledge and experiences) (17. Variations in the chronological order of CVs/II. Recruitment) | LHRD | December 2010 | Realised. ⁸ | / | / |
| Acknowledging mobility in the appointment process; calling attention (during the preparation of the national action plan and the NRDP) to deficiencies in terms of postdoctoral positions and taxation of fellowships (18. /II. Recruitment) | UM management and professional services | 2011 | Realised. ⁹ | / | / |
| Revising appointment procedures in accordance with the Charter and the Code as to include all recommendations from 19./II. (19. Recognition of mobility experience/II. Recruitment) | LHRD | 2011 | Realised. ¹⁰ | / | / |
| Adapting the human resources manual in accordance with the following recommendations: - recommendations concerning the recognition of mobility experience: the stay | LHRD | December 2010 | No longer pursued. ¹¹ | / | / |

⁸ In practice, variations in the chronological order of CVs are taken fully into account and are considered a positive experience contributing to the candidate's fundamental knowledge and skills.

⁹ In the appointment process, mobility is taken into account in accordance with the criteria for appointment adopted on 29 November 2010.

¹⁰ Appointment procedures have been revised. Modifications are ready to be adopted.

¹¹ Note: Since these aspects are already included into both the rules on promotion and the criteria for appointment, it is not necessary to adapt the human resources manual.



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| <p>in another country/region, research organization (public or private), transition from one discipline or sector to another, irrespective of career level; virtual mobility must be considered a valuable contribution to the career development of researchers; mobility must be acknowledged in the selection procedure</p> <ul style="list-style-type: none"> - recommendations for evaluating and appraising academic and professional qualification, including non-formal qualifications of all researches, in particular in the context of international and professional mobility - familiarizing oneself and gaining a full understanding of rules, procedures and standards 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 - determining whether the needs of the position are in line with the required qualification level so that they do not present a barrier to entry - focusing on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained - acknowledging long professional developments since professional qualifications may be acquired at the beginning of a long career or seniority | | | | | |
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| (20. Recognition of qualifications/II. Recruitment) | | | | | |
| Supplementing general acts of UM with guidelines of this principle and calling attention to deficiencies during the preparation of the national action plan and the NRDP Formulating rules and guidelines for the recruitment and appointment of postdoctoral researchers; determining the maximum duration and the objectives of such appointments. 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. | LHRD | December 2010 | Realised. ¹² | / | / |
| (21. Postdoctoral appointments/II. Recruitment) | | | | | |
| Examining possibilities for: <ul style="list-style-type: none"> - putting forward a proposal for the organization of day care during the research process - adapting the teaching load with regard to the needs of motherhood | UM management and professional services | 2011 | Realised. ¹³ | / | / |
| (24. Working conditions/ III. Working conditions and | | | | | |

¹² During postdoctoral training, the researcher is employed at the university for the period of funding (funding is usually provided by the Slovenian Research Agency). Researchers are aware that they must engage in a new research project if they wish to pursue an academic career at the university after the expiry of the aforementioned period. Concerning the maximum duration of appointments, the university must adhere to the Employment Relationship Act and the intended use of public funds when formulating guidelines and rules. In the recruitment procedure, guidelines for postdoctoral appointment or employment are taken into account.

¹³ Upon examination it has been established that, in accordance with the provisions of the Act of Intervention Steps because of Economic Crises, there are not enough resources for such a project.



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| social security) | | | | | |
| Calling attention to the need for changes in research funding for universities in order to achieve greater stability and permanence of employment (during the preparation of the national action plan and the NRDP) (25. Stability and permanence of employment/ III. Working conditions and social security) | UM management and professional services | 2011 | Realised. | / | / |
| Calling attention to the need for changes in research funding for universities (during the preparation of the national action plan and the NRDP); studying the proposal for changing the salary system for researchers (separating them from civil servants) and acknowledging the special status of foreigners (26. Stability and permanence of employment/ III. Working conditions and social security) | UM management and professional services | 2011 | Realised. | / | / |
| Supplementing the university's instructions for both recruitment and the establishment of bodies with the gender balance principle (27. Gender balance/ III. Working conditions and social security) | UM bodies | December 2010 | No longer pursued.¹⁴ | / | / |
| Calling attention to deficiencies (during the preparation of the national action plan and the NRDP) in order ensure national funding enabling career development (preferably within the context of human resources management) and preparation | UM management and professional services | 2011 | Realised.¹⁵ | / | / |

¹⁴ Supplementing the university's instructions would not be reasonable since gender balance is already taken into account when appointing members to various committees. However, in cases where committee members are elected rather than appointed, gender balance cannot be taken into account.

¹⁴ Internal documents will be adapted where appropriate after the Research and Innovation Strategy of Slovenia 2011-2020 has been realised.



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| <p>of specific strategies for career development at all career stages of researchers, irrespective of their contractual situations, including researchers on fixed-term contracts.</p> <p>Ensuring appropriate qualification and active involvement of supervisors who are providing researchers with support and guidance on their personal and professional development, thus motivating them and contributing to reducing any insecurity in their professional future; supplementing the human resources manual in this respect</p> <p>(28. Career development/ III. Working conditions and social security)</p> | <p>UM members</p> | <p>2011 (or continuous task with respect to the result of the adoption of the action plan and the NRDP)</p> | | | |
| <p>Supplementing internal instructions, manuals and rules with the acknowledgment of geographical, cross-sectoral, inter- or trans-disciplinary and virtual mobility, as well as mobility between public and private sector as an effective means of improving scientific discoveries and professional development at various career stages</p> <p>Calling attention to obstacles for the implementation (29./III.) of recommendations on the portability of grants and social security provisions in the context of mobility (during the preparation of the national action plan and the NRDP)</p> <p>(29. Value of mobility/ III. Working conditions and social security)</p> | <p>UM members, management and professional services</p> | <p>2011</p> <p>2011</p> | <p>Realised.</p> | <p>/</p> | <p>/</p> |
| <p>Calling attention to deficiencies (during the preparation of the national action plan and the NRDP) in order to ensure national funding that will</p> | <p>UM management and</p> | <p>2011</p> | <p>Realised.</p> | <p>/</p> | <p>/</p> |



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| enable researchers at all career stages, irrespective of their contractual status, to obtain career advice, which would require additional financial and suitably qualified human resources (30. Access to career advice/ III. Working conditions and social security) | professional services | | | | |
| Formulating and adopting the Rules on Managing Intellectual Property Rights at the University of Maribor (31. Intellectual Property Rights/ III. Working conditions and social security) | TechnoCenter UM d.o.o., UM bodies | September 2010 | Partly realised. ¹⁶ | UM bodies, Legal and Human Resources Department (LHRD) | by January 2012 |
| Supplementing general acts of UM with the staff evaluation procedure so that co-authorship can be viewed positively, irrespective of career stage, as evidence of a constructive approach to the conduct of research, or as a means of publishing research results independently from supervisors (32. Co-authorship/ III. Working conditions and social security) | UM bodies | December 2010 | Realised. | / | / |
| Calling attention to deficiencies during the preparation of the national action plan and the NRDP – legislative proposal in accordance with 34./III (34. Complaints and appeals/ III. Working conditions and social security) | UM bodies | December 2010 | Realised. | / | / |
| Supplementing the UM Statute in order to ensure the | UM bodies | December 2010 | No longer pursued. ¹⁷ | / | / |

¹⁶ Rules on Intellectual Property Management- ready for consideration and adoption by UM bodies.



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| <p>representation of researchers in relevant information, consultation and decision-making bodies, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of UM</p> <p>(35. Participation in decision-making bodies/ III. Working conditions and social security)</p> | | | | | |
| <p>Proposing programme funding (during the preparation of the national action plan and the NRDP) and the establishment of a system for continuous development, training and preparations of researchers for their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators at different career stages</p> <p>(37. Supervision and managerial duties, 38. Continuing Professional Development, 39. Access to research training and continuous development, 40. Supervision/IV. Training)</p> | UM management and professional services | 2011 | Realised. | / | / |

Prepared by:

Andreja Nekrep, Assistant Secretary General for Research, International Projects and Development; Mojca Jež Gole Assistant Secretary General for Legal Issues, Personnel and General Affairs; Brigita Krsnik Horvat, Vodja službe za podporo raziskovalcev in projektom UM.

Prof. dr. Karin Stana Kleinschek
Vice Rector for Science and Research

Prepared in January 2012

Revised by the European Commission in May 2012

¹⁷ Although the Statute specifies cases in which consultation bodies consist of members who are only researchers, their representation cannot be subject to a quota since their insufficient number would not ensure a balanced representation.