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Gendering the Academy and Research: combating Career Instability and Asymmetries

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GARCIA WORKING PAPERS 8

Gender budgeting in academia

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EXECUTIVE SUMMARY

Gender budgeting in academia provides an analysis and evaluation of the gender biases in management methods and decisionmaking processes in European academic institutions. Here gender budgeting is defined as:

"…an application of gender mainstreaming in the budgetary process. It means a gender-based assessment of budgets, incorporating a gender perspective at all levels of the budgetary process and restructuring revenues and expenditures in order to promote gender equality." (The Council of Europe, 2010).

The study was conducted between September 2014 and May 2015 in six academic institutions; The University of Trento (Italy), The Catholic University of Louvain (Belgium), Radboud University (the Netherlands), The University of Iceland, The University of Lausanne (Switzerland) and The Scientific Research Centre at the Slovenian Academy of Science and Arts.

The project is based on semi-structured interviews with key players, and secondary data collection comprising of statistical data, public documents and institutional documents. The overall objective of the project was to gain insight into the managerial and financial frameworks of different European academic institutions and to analyse the budgetary process in the fields of Science, Technology, Engineering and Mathematics (STEM) and Social Sciences and Humanities (SSH). By selecting these two fields we assure that transforming academia can be extended to all levels of the academic institution. Subsequently, a toolkit for the integration of gender budgeting in academic institutions will be developed, based on the findings of this report.

Organizational structure, management and financial framework of the academic institutions

The organizational structures, managements and financial frameworks are highly divergent for the participating academic institutions. There is a strong gender imbalance observable in the highest management positions, with most managerial and financial decision making being in the hands of men, even in institutions that are led by women. An exception is the Scientific Research Centre at the Slovenian Academy of Science and Arts, where women and men participate more equally in the managerial and financial decision making.

All the academic institutions have in common that there is an increased emphasis on 'academic excellence'. They all dream of "becoming Harvard", or at least improve their position on the international rankings, as well as being recognized within the international academic community. In order to reach that goal the institutions most commonly aim for more 'internationalisation', more publications in high impact journals and prestigious publishing houses, larger funding from international competitive grants, more international research networks, more emphasis on innovation, and more graduated doctoral candidates.

Where gender equality issues are concerned, most of the academic institutions have policies on gender equality and/or diversity. The Scientific Research Centre at the Slovenian Academy of Science and Arts and The University of Ljubliana, however, form an exception as they do not have such policies.

The overall budgeting decision is most often perceived as a technical procedure, that is objective and gender neutral. Nevertheless, the managerial and financial trends that we observe tend to be STEM focused. In some countries, e.g. Belgium and Iceland, the received

state funding is partially based on what academic field the students opt for. In this system STEM students are more valued than SSH students. The reason for this different validation is unexplained. A comparison of research funding attained by SSH and STEM academics at The Catholic University of Louvain, The University of Trento, Radboud University, The University of Lausanne and The University of Iceland shows that the male-dominated fields not only receive a lot more research funding but that the majority of the granted projects are also co-ordinated by male academic staff. At The University of Iceland these grants affect the distribution of funding within the academic institution which results in a higher allocation of funding to the STEM faculties. At the University of Trento in Italy a similar outcome is observable as the success rate in attaining third party funding partially affects the allocation of public research funds. This results in lower allocation to research teams in SSH.

Overall, there is a lack of transparency regarding the distribution of funding within the academic institutions. The degree of non-transparency varies though between institutions, except for at University of Trento where all the financial information was accessible. The academic STEM and SSH fields have autonomy over their internal allocation, except the STEM field at The University of Ljubliana where they have minimal or no autonomy over the allocation.

Academic staff in SSH and STEM

Horizontal and vertical gender segregation is prevailant at most of the academic institutions. The academic fields are higly gendered, with men being overrepresented in the STEM fields. When it comes to vertical segregation women are underrepresented in the highest academic positions, except for at the Scientific Research Centre at the Slovenian Academy of Science and Arts.

The managerial decisions that are taken within the academic institutions affect the academic staff directly. In all the institutions there is pressure, either formal or informal, to produce 'scientific excellence'. In some institutions, like The University of Iceland, there is formal pressure by means of the evaluation of the academic staff's performance. This evaluation affects their salary, their promotion, their chances of obtaining funding, as well as the amount of funding their faculty is entitled to. At The University of Trento research funds are allocated according to a performance index. At other institutions, like Radboud University, The Catholic University of Louvain and The University of Lausanne, the pressure with regard to 'excellence' is more informal, and the evaluation of academics does not affect the academic salaries or in some cases their chances of promotion.

At some of the institutions there was a similar demand for producing and publishing scientific knowledge within SSH as compared to in STEM. The different workloads within the different fields seem therefore to be largely ignored. When looking at the student/teacher ratio, the difference becomes clear as this ratio is more favourable for STEM than it is for SSH. In some institutions the difference in student/teacher ratios between STEM and SSH were considerable. For instance, at Radboud University the ratio was 0,9:1 in the STEM department as compared to 40:1 in the SSH department. A similar pattern can be noticed at the University of Iceland where the ratio in STEM is 21:1 versus 43:1 in SSH.

Precarious work is a widespread problem in most of the academic institutions. The institutions increasingly rely on temporary contracts, like in the case of sessional teachers at The University of Iceland, and in some cases lecturers and researchers do not have contracts, like the ones in post-doc positions at The University of Trento. In these positions that are based on temporary contracts or no contract at all, the academic employees can not rely on

the same social benefits, such as paid vacation and sick-leave, as full-time academic staff. There is also the tendency for women to be occupying these unfavourable positions more often than men.

What is also interesting is that the position of PhD candidates depends on the way their institution defines such position. At some academic institutions PhD candidates are considered employees, e.g. Radboud University, which entails payments and a temporary contract. At other academic institutions the PhD candidates hold a more precarious position. At the University of Trento PhD candidates receive a scholarship. While at The Catholic University of Louvain, The University of Iceland and The University of Lausanne the status of the PhD candidate can vary from being a paid employee, to be receiving grants for the whole or part of the PhD program, to having to rely on student-loans or/and other paid labour either within or outside the academic institution. PhD candidates at the male-dominated fields of STEM tend to hold less precarious positions. For instance, at The University of Iceland all PhD candidates in STEM receive salary or have a grant, while this is not the case in SSH. At the University of Lausanne there is a similar pattern observable with more PhD candidates lacking a contract in SSH than in STEM.

Making management and decision processes gender sensitive

From the cross-institutional reports it appears that gender budgeting, with its gender-based assessments of academic institution policies, New Public Management methods and budgets, can uncover the differential impact of the budget on women and men in academia. By utilising the first stage of Gender Budgeting it is possible to analyse what it is the academia values, measures and considers to be 'excellent'. Moreover, this first stage of Gender Budgeting also provides room to focus on what is currently not being valued within the academic system.

As this analysis reveals that resources are not always distributed in a gender equitable way, it simultaneously creates the opportunity to readdress the inequity and to reconstruct academic budgetary policies and resource distribution in order to create a fairer and equal academic environment. Based on this analysis we will develop toolkit with gender-sensitive budgeting strategies to counteract and prevent gender biases and inequalities in academic institutions.

Gender budgeting is an ambitious project that requires a major shift in both thinking and practice. Key players need to be on board and be willing to reform the process of allocating resources within the academic institution. This requires a need for acknowledging that academic fields in the current system are valued differently. Equality issues have to be prioritised more than they are now, and a transformation has to take place in the way policy, managerial instruments, and the allocation of funding are formulated and implemented.

1. UNIVERSITY OF TRENTO, ITALY

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1.1 Data Collection

Data collection process

Since October 2014, we analysed the official documents and proceeded with some exploratory interviews with administrative staff in order to map the University's decision-making process both at central and departmental level.

We focused on the central bodies of government and administration of the University: Rector, Council of Administration, Academic Senate, Board of Directors, Evaluation Group, and General Director. We analyzed the documents relating to the overall functioning of the University and mapped the relationship between the central bodies of government, in order to understand the decision process. We also considered others three bodies, particularly important for the GARCIA project (early stages career and gender equality): the Committee for recruitment and career advancement, the Supervisory Committee and the Rector's delegate for Equal Opportunities.

We reviewed the literature on the effects of the latest Italian University Reform (Law 240/2010, so called "Gelmini Reform"[1]) in terms of governance, evaluation and recruitment system, and career promotion processes in order to highlight the specificities of the University of Trento in comparison with the other national universities.

Several people (with different roles in the University organisation) were interviewed: institutional representatives of the central bodies and departments and people with administrative and managerial responsibilities. We experienced a collaborative context where the administrative offices provide us all the information required and gave their availability for exploratory interviews, helping to understand specific aspects of regulations and describing the internal organization. The institution representatives (e.g. Rector, Directors of Department and President of Evaluation Group) were also willing to discuss the themes proposed by the interview guide, but sometimes the answers were simply re-proposing what is stated in the official documents (i.e. formal aims, more than actual practices).

[1] After the name of the Education Minister who proposed the draft law to Parliament.

Table 1.1 – List of Interviewees

1	Rector	**7**	President of Evaluation Group
2	General Director	**8**	Administrative Staff of Evaluation Group
3	Director of SSH Department (DSRS)	**9**	Head of office of Planning, Administrative and Financial Management
4	Director of STEM Department (DISI)	**10**	Administrative Officer of Economic Department
5	Delegate for Equal Opportunity	**11**	Head of office of Administrative and Accounting Services – Polo Città
6	Professor of DSRS and member of Senate	**12**	Delegate for Technical Services STEM Department (DISI)

Table 1.2 - Information on the data collection process

Information on the data collection process:	Yes	No	If no, please describe how you obtained the data:
Did you obtain all the requested data:			
- on a national level?	**X**		
- on the institutional level?	**X**		
- on the department level?			**Some lacks of Data relating DISI (STEM) and DSRS (SSH), years 2009-2012, because of the institutional reorganisation.**
Was the requested data publicly available and transparent?			
- on a national level?			
- on the institutional level?	**X**		
- on the department level?	**X**		
Was the data available analysed by sex?			
- on a national level?	**X**		
- on the institutional level?	**X**		
- on the department level?	**X**		
	Yes	No	If yes, please describe:
Did you meet any resistance while obtaining the data?			
- on a national level?		**X**	
- on the institutional level?		**X**	
- on the department level?		**X**	

1.2 The University of Trento structure, managerial and organizational financial framework and potential gender biases

Table 2.1 - Check list on gender equality measures in science on a national level

Gender equality measures in science on national level	Yes	Partly	No
Equal treatment legislation			X
Commitment to gender mainstreaming			X
Commitment to gender budgeting			X
Publication of sex-disaggregated statistics	X		
Development of gender equality targets/bench marks			X
Gender balance targets in public committees		The Ministerial directive (n.23/2007) of the Ministry of the Reforms and Innovation in Public Administration and Ministry for Equal Opportunities introduced (Art. 6)the gender budgeting in Public Administration. This directive does not include sanctions in case of non-fulfilment.	
Women and science unit in the ministry of education/science		30 September 2013, a Memorandum of Understanding (Protocollo di intesa) with the Ministry of Education, University and Scientific Research aimed at promoting equal opportunities in science, thus creating for the first time in Italy, a national strategy to increase the participation of women and girls in science and technology education, training, research and employment.	
National committee on women and science			X
National centre on women and science			Association "Women and Science" (*Donne e Scienza*) was funded in December 2003 by a group of scientists and scholars from several disciplines.

Gender equality measures in science on institutional level	Yes	Partly	No
Gender equality plan	Affirmative Action Plan 2014-2016		
Gender balance targets on university committees		Gender Balance relating to the members nominated for central governing bodies (Academic Senate and Board of Directors).	
Gender quotas on university committees			X
Gender/women studies and research	x		
Programmes on women and science, special funding available			X

1.2.1 The Italian public debate on universities and meritocracy and approval of the Gelmini University Reform Law (240/2010)

In the past 15 years the Italian university system (publicly funded) has been profoundly modified by a series of reforms that affected both the organizational structure and the teaching/research system. These reforms are deeply rooted in the framework of the Bologna Process (1999) and the Lisbon Strategy (2000), two European Council agreements whose ambitious aims were (i) the creation of the European Higher Education Area, and (ii) the launch of a strategy to make Europe "the most competitive and dynamic knowledge-based economy in the world".

The socio-political context in which the university reforms were enacted in Italy was characterized by two main features: budget constraint and increasing criticisms towards the university system in the public debate. In the past decade, several attempts to reduce the high public deficit resulted in systematic cuts on public expenditure on education (schools and universities), giving rise to waves of mobilizations by students, researchers and teachers. At the same time, there were increasing criticisms towards the so-called 'privileges' of Academia, often seen as an 'ivory tower' where a closed group of professors retained power on decisions concerning internal recruitment and funding without any kind of public control. Accordingly, demands were expressed for 'objective' and 'neutral' procedures based on meritocracy and benchmarking.

In this political and social setting, the Gelmini Reform (L. 240/2010) was enacted towards the end of 2010, and started to be implemented in the following years. The reform introduced radical changes both in the governance of the Italian university system and in the processes of recruitment, evaluation and promotion of academic staff. This reform had the explicit goal to raise the efficiency and the quality of the Italian university system to international standards[2].

The University of Trento has been affected, along with the changes introduced by the Gelmini Reform, also by the devolution from the central government to the local government. In July 2011, the Government approved a legislative decree which devolved to

[2] See the 7.1 GARCIA deliverable, p. 5.

the Autonomous Province of Trento (PAT) the national normative and administrative functions pertaining to the University of Trento (d. Lgs. 142/2011). The Devolution of the University was harshly criticized by the majority of academic staff. The main criticisms (Pascuzzi, 2012) can be summarized as follows:

(i) the "authoritarian turn": the institutional change was imposed by the Province President and certain bodies of the University, who ignored the opposition of the majority of academic staff, while students, precarious researchers and non-academic staff were excluded from the decision making process;
(ii) the model of academic research and teaching: too 'business-like' and hybrid, focused on competition among universities, spin-offs and start–ups, and financial issues;
(iii) the role of the PAT (that appoints all members of the Administrative Council, including the President) was considered too intrusive in the University's autonomy.

The Devolution of the University of Trento was finally implemented in 2012, with the approval of the new Statute of the University and the official introduction of the new Departments (Statute of the University of Trento, D.R. 167, April 23, 2012)[3].

1.2.2 Introduction to the institution and its history

The University of Trento is a medium-sized university, founded in 1962 as a Higher University Institute for Social Sciences, the first one in Italy. In 1972, the Faculty of Sciences was founded and, in 1973, after the University had become a "Libera University" (Free University) financed and regulated by the Province of Trento, the Faculty of Sciences (1972) and the Faculty of Economics (1973) were founded. In 1983, the "Libera Università" (at the time a private institution, under the PAT) became a public and state-owned University. Three other Faculties were founded in 1984 and 1985: Humanities, Law and Engineering; finally, the Faculty of Cognitive Sciences, was founded in 2004.

The so called "Milan Agreement", signed in 2009 between the Government and the Autonomous Province of Trento (together with that of Bolzano and the Regional Authorities), regarding the change to the special Statute of autonomy on financial regulations, gave the Province new authority over the University.

The last change occurred in 2012, when the old institutional structures (Faculties and Research Departments) were replaced by 13 new organisational units (as stated by L. 240/2010) that bring together teaching and research: 10 Departments[4] and 3 University Centres[5]. As a result of this process, a new organizational and management system has been created. The services are organised and located in three different areas:

[3] See the 7.1 GARCIA deliverable, p. 8.

[4] The Departments include: Economics and Management; Faculty of Law; Physics; Civil, environmental and mechanical engineering; Information engineering and computer science; Industrial engineering; Humanities; Mathematics; Psychology and cognitive science; Sociology and social research.

[5] The University Centres include: the Centre for Integrative Biology (CIBIO); the Interdepartmental Centre for Mind/Brain Sciences (CIMeC); the Interdepartmental Centre for Biomedical Studies (BIOtech); the University Centre for Advanced Studies on Hydro-geological Risk in Mountain Areas (CUDAM) and the University Centre of Metrology (CUM).

- the "hill"[6], where the STEM Departments (including the Department of Information Engineering and Computer Science Department) are located;
- the "city", where the SSH Departments (including the Department of Sociology and Social Research) are located;
- Rovereto, a town 12 km south of Trento, which hosts the Department of Cognitive Sciences.

According to the Governing Bodies, this organizational structure pursues customized and integrative services through decentralized offices; at the same time, it promotes homogeneous and high-quality services to the various structures, along with an efficient connection between the "head offices" and the "departments". The technical-administrative structure is organized in 7 Head Offices[7], managed by the General Director, currently Mrs. Giancarla Masè.

At present, the University of Trento runs 55 degree courses, numerous first- and second-level Master's programmes, and continuing-education programmes[8]. There are also 2 Schools which offer advanced-learning courses and 14 PhD programmes.

1.2.3 Managerial framework

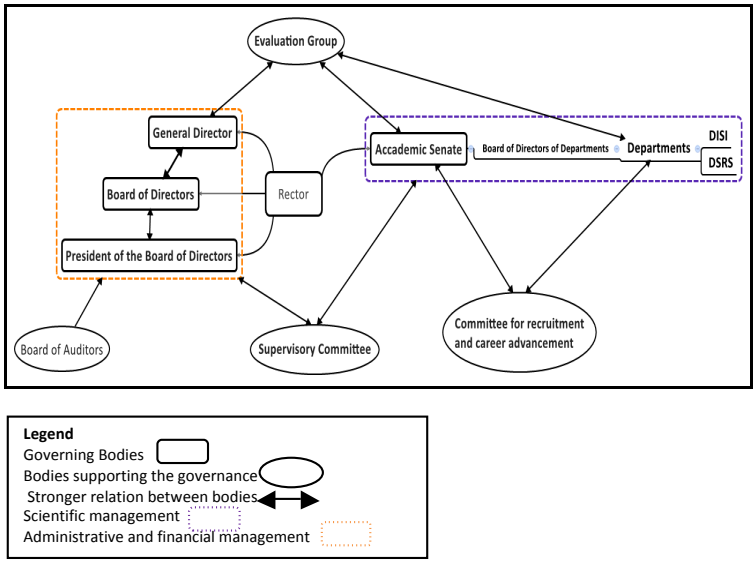
The overall picture that emerges from the statistical information on the gender composition of the governing bodies of the University (see Appendix A, tab. 1) shows an anomalous unbalanced structure. On the one hand, two of the top positions (the Rector and the General Director) are held by women, on other hand, women are underrepresented in the vast majority of the governing bodies, with the noticeable exceptions of the Board of Directors (with 5 women and 2 men, plus a male student) and the Board of Auditors (with 4 women and one men). As one might expect, the few women holding some responsibility are concentrated in the areas dealing with equal opportunities, ethical issues and quality of teaching. In short, women are a small minority in the governing bodies more directly responsible of decisions dealing with recruitment, evaluation, promotion and research funding. This is certainly the case of the Academic Senate, the Board of the Directors of the Departments, and the Committee for recruitment and career advancement.

[6] Povo is the Scientific and Technological headquarter of the University of Trento and Bruno Kessler Foundation, it is in the hills three kilometers away (East side) from the city of Trento.

[7] Head Offices: Central Management; H.R. and administration management; Financial management; Education and student services management; Buildings and estates management; Information and communication technology management; University library system and Research.

[8] Continuing-education programmes are refresher courses dedicated in particular to health professions.

Figure 2.1 – Map of the main governing Bodies



The academic institution's vision and strategies

The most useful document we analysed in order to provide an overview of the overall policy of the University of Trento is the Strategic Plan 2014-2016 (SP) approved on April 2014. We also examined other official documents which included more detailed information (key elements).

The *mission* of the University of Trento (UNITN) is to promote and integrate in a virtuous way its three areas of activity: research, training and enhancing local development. The University is defined as a *research university* and a *teaching university* entrenched in the local area and in communication with the society at the national and international level (SP, p. 9). UNITN aims to improve its capabilities and knowledge to achieve scientific results of international importance and, consequently, to be acknowledge as a high level institution in both research and teaching. In particular, UNITN aims to increase its economic resources, visibility and prestige in the European and international context. The Rector (2013-2014), Professor Daria De Pretis[9], explains:

> *In a situation of declining public resources [not increasing resources] the aim of SP was to enhance the strengths of our university. Our University is very heterogeneous, the disciplinary areas vary across the Departments, both in science and humanities, but they are all quite strong, particularly in research. We have good performances both in the STEM and in the SSH; with the SP we intend to promote the dialogue between these different disciplines.*

[9] In November 2014, the Rector, Professor Daria de Pretis, was nominated by the President of Italian Republic as a member of Magistrates' Governing Body. She resigned from her position in November 2014 and the process for the election of a new Rector took off. The new Rector, Professor, Paolo Collini, started his mandate on 1st April, 2015. Professor Daria de Pretis, was the first woman to became Rector of the University of Trento and she supported the Garcia project since the beginning.

The first part of the SP presents the university community: students, professors and assistant professors and administrative staff. The analysis of the student components (undergraduates, graduates and PhD students) is carried out by age group and area of origin, while gender is not taken into account[10]. Data on professors and assistant professors are broken down by age, gender and discipline. The SP underlines the unbalanced distribution between men and women in full and associate professor positions; in particular, it is acknowledged that the situation at the University of Trento is worse than at the national level. In fact, the share of women is only 12.29% for full professors and 23.78% for associate professors (national averages are 21.1% and 35%, respectively) and 40.71% for assistant professors[11] (national average is 45.3%, including assistant professors with fixed-term contracts[12]).

The Glace Ceiling Index (GCI) of the University of Trento is 2.2, while the Italian GCI is 1.7 (both data refer to 2013).

The distribution of the academic staff of the University of Trento in the three broad hierarchical levels is unbalanced, being characterised by a narrow base. Indeed, the percentages of full professors (33.9%) and associate professors (35%) are above the national averages (respectively, 26.4% and 29.4%). This structure, together with the decrease of public funds for universities and the introduction of fixed-term research contracts, create an unfavourable situation in terms of new recruitments and the probability to enter a career ladder leading to a position of assistant professor.[13]

During the interview, the Rector has acknowledged that it is difficult to promote the participation of women in the governing bodies of the Italian universities and to recruit them in national committees (responsible for scientific assessment) because there are only few women in the position of full professor. She underlines the exceptional event to have a female Rector at UNITN. This fact has made clear both the importance of the presence of women in key roles, and their under representation in the university governing bodies:

> *We experience it every day ... I mean the fact that I, a woman, was the Rector ofUNITN (over the last year). Being (almost) the only woman in the institutional bodies taking academic decisions, I represented physically and professionally the gender dimension. This fact this has heightened the awareness of the problem (Rector).*

[10] Data on undergraduates and graduates students are available in the Positive Action Plan. The overall composition of enrolled students at the University of Trento is quite balanced (academic year 2012/2013), 51% of women and 49% of men, but with an uneven distribution across disciplines: men are predominant Engineering (92%), Information Sciences (88%) and Physic (80%), and women are more numerous in Psychology (73%), Humanities (72%) and International Studies (71%). The Center for Integrative Biology and the Department of Economics and Management have a more balanced gender distribution.

[11] These data, that refer to 2013, are taken from the short document on equal opportunities at UNITN elaborated by the Equal Opportunity Committee (8th of March, 2014).

[12] The assistant professors with fixed-term contracts are the 11.7% of academic staff.

[13] In addition, the number of post-doc positions increased dramatically (by 274%) between 2009 and 2013 at University level (and +124% at national level). "This imbalance between permanent and non-permanent positions is the result of two main processes: a) the changes introduced by law in the recruitment process, aiming to introduce some flexibility in the early stages of academic career (as already discussed); b) the changes imposed to the university system in order to reduce public expenditure. In particular, academic staff turnover has been limited by law since 2009 (limited at 50% on the ceasing staff for the recent years); academic staff salaries, fixed nationally, have been frozen since 2011; finally, since the outset of the economic crisis, consistent cuts in university public funding have been set by law (-18.7% between 2008 and 2013)". (See the 3.2 GARCIA deliverable, p. 39).

The administrative staff at the University of Trento is characterised by a great share of employees in the higher positions and a high percentage of part-timers. Indeed, at the lower levels, C and B, one finds the 33% of the personnel employed as administrative staff (whereas the national average of C and B positions is 60%)[14]. Also, the percentage of part-timers at UNITN is much higher than at the national level (25% compared with 8.6%). The SP explains this with the high feminisation rate of employees (60%) and the lower average age of women at UNITN in comparison with the national average (43 years compared with 49 years)[15]. The SP document does not question the issue. In the Italian context, this is not surprising. The conventional view is that part time work helps women with family responsibilities, implicitly assuming that women are responsible for care work in their family, therefore they cannot work full time.

The second part of the SP identifies and describes the following three elements:

- *strategic components*, that correspond to the three missions of the UNITN: research, training and innovation and knowledge transfer (or participation in development);
- *transversal objectives*, that identify the main internationalisation; partnership; relations with the territory; social responsibility and inclusive character of the academic community and self-assessment and evaluation;
- *enabling elements*: people (or human resources), structures and services. This implies that the SP is focused on the resources available to manage all university activities.

The *human resources* are organised in two complementary and distinct groups: the academic staff and the administrative personnel. The SP emphasizes the key role of the quality of academic staff (professors and assistant professors) and their scientific productivity, as well as the relevance of these elements in the recruitment process. Indeed, in order to monitor the respect of these criteria, the Academic Senate is supported by a specific committee: the *Committee for Recruitment and Career Advancement*.[16] This is a body that has the task to enhance the quality of recruitment and supervise the advancement of professors and assistant professors' careers. As a matter of fact, it is a body with large discretionary power, taking important decisions on recruitment and career advancement, but not making public the criteria used.

From 2001, the University has set up a system of annual performance evaluation, which aims at improving the quality of services and promoting professional skills through the promotion of the merit.

Moreover, the SP makes clear that it is crucial to reward and motivate talented people and to promote diversity and equal opportunities for all members of the university community.

It should be mentioned that several actions have been planned by the Senate (since the election of prof. de Pretis as Rector) directly or indirectly focused on the difficulties met by young researchers (at the very beginning of their academic career) as well as the under-representation of women at UNITN. In particular:

[14] The higher levels, A and D, correspond to the 67% of the personnel in comparison to the 40% of the national average of the same positions.

[15] Moreover, it is interesting to notice the high number of fixed-term contracts of administrative staff: at UNITN, they are the 12,8% out of the administrative staff with permanent position (vs. 4,1% at national level).

[16] The *Committee for Recruitment and Career Advancement* is composed by four men and one woman (being the youngest, she acts as the secretary).

1) a financial contribution to junior researchers to cover expenses related to the preparation of proposals for participating in European or international calls[17];

2) an incentive plan to reward individuals performance of administrative staff (already implemented) and academic staff for research and teaching activities (not yet implemented);

3) an incentive policy to encourage the recruitment of assistant professors in order to rebalance their ratio with the full and associate professors;

4) an incentive policy to encourage academic structures (Departments and Centres) to contribute to the gender balance in terms of full and associate professors;

5) development of a monitoring system of the well-being and satisfaction of the academic personnel.

Out of these five actions, the Rector stresses the decision taken in order to reduce the gender imbalance:

> *"A measure of which I am very proud, we are very proud with the Academic Senate, is the financial support to the recruitment of academics of the less represented gender, which at present is conspicuously female. The University supports ¼ of the total cost of women, both in advancement of career and in external calls. This initiative has been approved by the AS unanimously because the statistics that we have looked at are so clear in pointing out this large gap that there was no need to discuss it. The results are already evident in the calls of researchers who obtained the National Scientific Qualification. Given that the departments have a financial advantage, if they are forced to choose between a man and a woman, they choose a woman because she costs less. This is a measure that no one has disputed."*[18]

Up to now, there is no evidence about the effectiveness of this policy for the gender balancing in the apical academic positions.

The proposal arose in an impromptu manner within the government bodies Academic Senate, inspired by similar experiences in other international contexts, without a prior assessment of the impacts and of the implications for the different departments nor some discussion with EO bodies or experts. The lack of a process of collective decision has generated within the academic community a critical and devaluing position on the adoption of this policy tool.[19]

In the third section of the SP five thematic areas for promoting specific research actions are listed and briefly illustrated. The governing Bodies of the University used two main criteria in order to identify the five thematic areas: 1) the enhancement of the best existing skills and expertise; and 2) the promotion of communication among these expertises in a crosscutting perspective, overcoming the organizational structures and the separation among the disciplines.

The five thematic areas identified in the Strategic Plan 2014-2016 are: (i) fundamentals of knowledge in the human sciences, legal sciences, mathematics, physics and quantum technologies; (ii) population, welfare and economic development; (iii) life sciences; (iv)

[17] An internal call, named "Starting Grant Young Researchers 2014" has been published on June 2014.

[18] This intervention is described in detail in following part of the document (p.26-27)

[19] An *ad hoc* evaluation plan would be necessary in order to assess the impact of the policy on the gender distribution among apical academic positions, above all taking into account the specific characteristics of the Department (e.g. the demographic structures of academic staff and their recruitment and career advancement constraints).

sustainable development: environment, land (local area/territory) and natural resources; (v) technological innovation and support to the production development. The Rector explains:

> "The SP includes many actions. With respect to research the idea is to encourage excellence and multi-disciplinary approach. We planned an intervention, named "University major projects" that we promote through a competition [...] the funds are no longer distributed only on a historical and performance basis of each department, but they are also distributed on the future projects perspective, putting in competition, not structures, but people and promoting the dialogue between the disciplines".

It is possible to identify three key elements connected to all the dimensions and issues summarized before: *interdisciplinary, internationalisation and embedded in the territory*. Indeed, these three concepts are linked to research and teaching activities, and to innovation and knowledge transfer. From the report it seems to emerge a strategy of interaction among the different activities and a proposition for promoting exchanges and dialogue between the global and local contexts. Therefore, the collaboration is promoted both from an interdisciplinary and international perspective with local organisations, public institutions and companies as well with foreign universities, research centres and profit organisations. However, it should be recalled that the launch of the SP took off in a scenario of no additional resources.

Monitor and evaluation of the University activities

The Gelmini Reform (L. 240/2010) and its regulation (L. 19/2012) changed the evaluation system of research and universities. The Self-assessment, periodic Evaluation and Accreditation system (Autovalutazione, Valutazione periodica, Accreditamento – AVA) was introduced. This system is based on an initial and recurrent accreditation system of courses of study and universities; regular assessment of the quality; efficiency and results achieved by the universities and the strengthening of the system of self-assessment of the quality and effectiveness of teaching and research universities. The National Agency for Evaluation of Universities and Research Institutions (ANVUR) established the methodology, criteria and indicators in order to achieve the accreditation and to implement periodic assessments. The fundamental elements of this assessment system are elaborated according to the national legislation and the document "Standards and Guidelines for Quality Assurance in the European Higher Education Area" (ESG) formulated by the European Network for Quality Assurance in Higher Education (ENQA)[20].

UNITN has two bodies for the evaluation of its activities: the Evaluation Group (in application of Rule 15 of the Statute) and the Committee for the enhancement of quality. The Evaluation Group continuously and systematically checks the performance of the University (in terms of organization, research and teaching activities), and determines the overall quality of the procedures, thereby contributing to the improvement of the internal system of self-evaluation and to the promotion of merit. The Group, in complete autonomy, draws up an annual report on the attainment of the strategic plan and on the achievement of the rigorous

20 According to the Gelmini Law (art. 5), the main objectives of the ANVUR are: (i) to verify the fulfillment by faculties and courses of teaching, structural, organizational and qualification requirements for their accreditation; (ii) to evaluate the recruitment policies of universities; (iii) to introduce a system of periodic evaluation based on ex ante criteria in order to measure the efficiency and the results achieved in the teaching and research activities of each university (VQR, Evaluation of Research Quality). For each evaluation activity (called AVA), the ANVUR defines indices and criteria based on the Standards and Guidelines for Quality Assurance in the European Higher Education Area (see 7.1 GARCIA deliverable, p. 6).

objectives, and submits this report to the Board of Directors by May of each year. The Committee for the enhancement of quality at the University promotes the improvement of all the courses and training programmes offered. It has a crucial role for the gathering and elaboration of data in order to complete the Self-assessment, periodic Evaluation an Accreditation system (AVA).

A paragraph of the SP explains that UNITN adopts the national evaluation system and underlines that evaluation and self-assessment processes are considered key elements in order to improve the quality of research and teaching activities and to promote the dialogue within the university community. These are the objectives described in the SP about these processes:

- the spread of the self-assessment culture of the personnel and students of the university in order to make it a value acknowledged and shared;
- the introduction of best practices relating to monitoring and evaluation experimented in national and international contexts.

As already mentioned, each section of the SP is composed by objectives, actions and assessment indicators. Strategic components, transversal objectives, thematic areas and enabling elements are evaluated by a specific set of items that could be summarized relating to research and teaching activities and Social Responsibility (in and out of University) and embedded in local territory.

The SP includes a set of Performance Indicators relating each dimension and action; we elaborated the indicators listed in the document in three tables in order to gather together the main elements that characterize university activities assessment and future strategies[21]. As shown in the Key Performance Indicators Tables (see Appendix B), we identified three objects for evaluation: i) research activities, ii) teaching activities, and iii) Social Responsibility (in and out of University) and embeddedness in local territory. For each subject, we acknowledged specific dimensions.

Even if the SP includes an attempt of an integrated evaluation plan, it has not been possible to identify clear criteria and indexes that describe the present situation and the objectives to be achieve. Appendix B shows all the indicators in absolute values or ratio calculated at the present time. The indicators identified in order to evaluate the goals listed in the SP do not allow a comparison with the past. Even if an objective assessment is hard to develop (if not impossible) some data could be helpful in order to understand the tendencies on going into research, teaching and knowledge transfer activities.

Information about the UNITN position in national and international rankings is made available in the "University financial statement 2013" (Italian version) and on the presentation web page of University (English version[22]). The University of Trento has confirmed its position among the top places of the national rankings, and it is well positioned in the international ones. Trento is one of the few Italian universities ranking in the THE – Times Higher Education Rankings 2014-2015, drafted by Thomson Reuters for Times. Trento ranks in the 251-275 bracket, equal to the University of Pavia, the University of Salento and the University of Turin. In the previous ranking (2013/14) Trento was 219th, in the 201-225 bracket: the first among the 15 Italian universities in the ranking.

[21] See Appendix B: Key Performance Indicators Tables.

[22] See in information available at: http://www.unitn.it/en/ateneo/1636/rankings and http://goo.gl/MCNJDF

In the classification drawn up by QS World University Rankings 2014-2015, UNITN is listed in the range 411-420, while it was in the range 441-450 last year and 451-500 two years ago. The reputation of the University of Trento at international level and the significant increase of the impact of the scientific publications of its professor at global level played a key role in achieving this result.

At national level, according to the 2013 Report by ANVUR (Italian National Agency for the Evaluation of the University system) UNITN ranks first in the category of scientific production of medium universities. ANVUR evaluated the scientific products of 133 structures in Italy: 95 universities and 38 research institutions. UNITN results are well above the national average score, in 11 out of the 16 disciplinary sectors taken into account.

In the SP, rankings and standard indicators about research, teaching and internationalization are mentioned, but the targets are not expressed in terms of ratio or measurable changes.

Gender equality as part of the policy

Gender equality does not emerge as an element systematically integrated in the SP 2014-2016, though Some references to gender issue can be found in the text. The most useful document in order to understand the equality policy of the UNITN is the Affirmative Action Plan for Equal Opportunities (AAP) 2014-2016. Before analysing the content of the SP and the AAP we should say that Gender Equality as a value and the importance of Equal Opportunity policies are included in the Ethical Code of UNITN approved by the Academic Senate in March 2014. “Equal Opportunity” (EO) is included in the list of the university values (art. 4, Ethical Code); the text specifies that UNITN guarantees equality for all and tackle discrimination based on sex, age, ethnicity, religion, disability, sexual orientation, marital status and pregnancy. Moreover, there is a specific attention to enhance abilities and expertise of people with particular mental and physical health conditions (art. 7, Ethical Code). However, no initiative has been taken so far to spread knowledge on the founding values within the University community since the approval of the Ethical Code.

In the first part of the SP, where data on the academic staff are broken down by sex, we found a short comment on the differences between women and men's presence in full and associate professor positions in all scientific areas: “the gender imbalance represents a point of weakness in the whole university system” (SP, p. 22). As already mentioned, the SP underlines two unbalanced situations in the academic community: first, the gap between men and women in full and associate professors positions; second, the larger number of these positions compared to the number of assistant professors. The report states that it is a problem inherited from the past, difficult to overcome given the budget constraint imposed to universities in times of fiscal consolidation, hence the lack of resources for opening new positions (both assistant professors and full/associate professor) and for promotions along the career ladder. The data show that this scenario is the same of that observed at national level.

In the SP, the most relevant comment about gender and equal opportunities is found in the transversal objective of “social responsibility and inclusive character of the academic community”, with respect to the teaching component; it is stated that the development of courses and masters in gender and equal opportunities studies should be encouraged. Indeed, one of the three specific aims of “social responsibility and inclusive character of the academic community” is: *encouraging the creation of a context sensitive to differences and*

overcoming gender inequalities in all spheres of action[23]. These are the declared actions for achieving this aim:

- *activation of training/courses* on topics related to equal opportunities and the enhancement of differences in the courses of study. No actions have been developed yet;
- the development of *recruitment measures* oriented to the balance in the composition of the body student and, where possible, the academic body, overcoming gender disparities in scientific careers. Starting from 2014, the central management of UNITN promotes an incentive in order to promote the recruitment of academics of the gender underrepresented among the professors and assistant professors of the University of Trento[24];
- implementation of the *Affirmative Action Plan 2014-16*, which includes the following two actions: i) the creation of an *Observatory for Equal Opportunities and organisational well-being* (at present still in the preparatory phase); ii) the *Family Audit initiatives* in support of parenting (the analysis phase was completed in January 2015 and the planning of action has been developed).

The assessment indicators for these actions are:

- the *promotion of gender themes* in research and teaching in all their aspects;
- *gender composition* of students, research staff with a temporary positions, professors in different disciplines and in different positions, and administrative technical staff in different categories;
- *number of initiatives implemented* according to the Affirmative Action Plan (AAP).

It is important to point out that objectives, actions and indicators are not articulated and specified in the SP, they are just mentioned among others dimension of social responsibility. For this reason, we decided to focus our attention on the first Affirmative Action Plan for Equal Opportunities (AAP) approved by UNITN on February 2014 (though the planned actions will be implemented over the next three years).

The document includes three sections: the first part report detailed statistics by gender about students, academic and administrative staff and the presence of women in governing bodies of UNITN; the second part identifies the strategy and the priorities; finally, the third part describes actions which will be implemented.

The main areas of intervention are: monitoring data; overcoming asymmetries (equal opportunities and gender policies in the management of staff and scientific careers); training; actions addressed to the local territory stakeholders.

The document lists 6 general goals and 12 actions framed as transversal actions for promoting equal opportunities, structural changes, organisational wellbeing and dialogue with the local community.

Actions and methodology described in the AAP have been elaborated during the negotiation phase of GARCIA project; in fact, some of the GARCIA actions have been added in the AAP in order to guarantee the UNITN commitment.

[23] This is a crucial aspect mentioned in the SP, and in our report, in the section, which dials with the enabling element: people (or human resources).

[24] The mechanism of this incentive is described in detail later in the text.

The main actions and their implementation (approximately one year after the documents ratification - SP on April 2014 and AAP on February 2014[25]) can be summarised as follow:

- *coordination activities among all the university bodies* that have some responsibility on equality and organisational wellbeing[26].
- *Supervisory Committee* for the promotion of equal opportunities, workers' welfare and non-discrimination. As set by the law n. 183/2010 (Art. 21), the members of the Committee have been nominated (on January 2015) and elected (on February 2015).[27]
- *Establishment of an observatory on equal opportunity and organisational well-being.*
  Actions realised are:

  i. *needs analysis of students and staff (academic and administrative) relating to the AAP goals;*
  ii. *realisation of a qualitative mapping of work and study conditions (e.g. equal opportunity, disability, wellbeing, sexual harassment, homosexual discrimination, etc.) through semi-structured interviews with privileged observers.*

i. *Family Audit certificate[28]. The analysis phase was completed in January 2015 and the planning of action has been developed.*

- *Training activities*, including the integration of gender and equal opportunities themes in degree courses and in the training initiatives for administrative staff[29].
  Actions implemented:

  i. *Training program on harassment for administrative staff (for office managers).*

- *Overcoming asymmetries*: promotion of structural changes to encourage equal career opportunities for men and women and the advancement of women's presences in governing bodies.
  Actions in progress:

  i. *Mapping of good practices in the policies of equality and diversity carried out in other Italian, European and non-EU universities (in particular, UK and USA) has been carried out in order to identify those innovative actions that may apply in the context of UNITN.*
  ii. *The AS introduced an incentiv[30]e for promoting women in associate professor positions and fixed term researchers recruitment.*
  iii. *Analysis focused on gender imbalance in decision making bodies, the evaluation process of recruitment and promotion and the allocation of research funding. This action has been integrated with the research activities of GARCIA Project and Family Audit process in particular relating to data*

[25] Information about the monitoring process of the AAP 2014-2016 is based on the internal report of DEO.

[26] e.g. Delegate to relationships with the administrative staff; Delegate for disability service; Delegate for educational services and parenting support; Delegate for Equal Opportunities; Confidential Counselor; Representative of the Equal Opportunities Committee / Central Committee for the promotion of equal opportunities, workers' welfare and non-discrimination; General Director, etc.

[27] The members of the Committee have been elected and nominated, but the Committee did not start any activity because its establishment coincided with Rector resign and new election.

[28] In 2008, the Autonomous Province of Trento (through its Agency for Family, Fertility and Youth Policies) initiated the Family Audit Certification. This project started in 2012, following national pilot experiences. The family audit is based on a well-developed methodology. A working group is set up with the organisation, which is advised by an external consultant. After carrying out an audit, each organisation develops a three-year Family Work-Life Balance Plan listing actions that the organisation plans to take in six areas (work organisation, work-family balance culture, communication, fringe benefits and services, family district, new technologies). An external evaluator monitors its implementation.

http://www.trentino.familyaudit.org/?q=system/files/IT_Family%20Audit_final_EIGE.pdf

[29] The SP also dedicates particular attention to the integration of gender and equal opportunities topics in the didactic offered at degree and master levels.

[30] We will describe this intervention in detail later in the report (see p. 26-27).

on work-life balance conditions and on gender composition of academic staff with fixed-term contracts.

- *Gender sensitive initiatives* addressed to the local territory stakeholders.
  Actions implemented:
  i. *UNITN, in collaboration with private and public stakeholders, organised several public events (educational, cultural and organizational) for promoting a wider and deeper attention to gender discrimination and equal opportunities.*
  ii. *Orientation courses addressed to students of high and middle schools in order to overcome the gender segregation in educational choices have been realised.*

The actions put forward at UNITN in order to overcome gender asymmetries is clearly connected with the objectives of GARCIA project; indeed, this is a good example of the crucial advantage of integrating the objectives of different university bodies, of achieving them with greater effectiveness and of using resources in a more efficient way. However, what is still missing at UNITN is a strategy to overcome the gender bias in the decision-making process. In order to move in that direction, the process should include: i) the promotion of transparency (committees and governing bodies constitution process, and decision-making process); ii) the critical assessment of the evaluation system (and the criteria in use).

As the Delegate for Equal Opportunities (DEO), Professor Barbara Poggio, explained, the GARCIA project had an influence on the Affirmative Action Plan in general. In particular, it lead to the inclusion of researchers with non-permanent contracts as beneficiaries of actions and policies of EO; moreover, it affected the decision to include some of them as members of the work team in charge of these policies (e.g. two precarious researchers participated in an action plan on the family audit in order to highlight their specific work conditions). She explains:

> *"It is important to ensure the integration of the activities promoted in the framework of the GARCIA project and the work of the Supervisory Committee. This could help to reach more effective and efficient results [...] if the pilot activities that will take place in the two Departments involved in the GARCIA project will reach good results, they could be included in the AAP and expanded to all Departments of UNITN" (DEO).*

In this phase, the coincidence of the Principal Investigator of Garcia and the DEO in the same person could represent an added value in order to promote harmonisation and coherence among the actions of the different bodies dealing with EO policies; indeed, according to Gender Time project proposal she could be identified as a Transfer Agent[31] whiting the institution.

Process of policy making: Strategic Plan 2014-2016

The University Strategic Plan 2014-2016 was elaborated with the contribution of different governing Bodies. According to the Statute, the Academic Senate (AS) collaborates with the Rector for coordinating and planning the teaching and scientific activities of the University.

31 "*To ensure the project's success we have a strategy: in every participating institution we involved a top-level manager in the knowledge transfer process, we call them Transfer agents. They are heads of institutions, gender equality representatives, or human resources managers; their task is to secure a sustainable implementation of gender oriented actions. Moreover, Transfer agents ensure that the knowledge transfer process extends and continues beyond the project partnership and timing.*" (http://goo.gl/90NHMl)

The phases of the elaboration and adoption of the Strategic Plan (SP) are summarised in table 2.2.

Table 2.2 – Phases of elaboration and adoption of the Strategic Plan 2014-2016

Responsible Actor	Activity
Board of Directors (CdA)	Definition of general criteria and economic constraints.
Academic Senate	Definition of strategic orientation.
Board of Directors of Departments	Presentation of the document for elaborating the Strategic Departmental Plan (DSP).
Academic support staff* – Directors of Departments	Meetings with Directors for elaborating the Strategic Departmental Plan.
Department Council/ Research Centre Council	Elaboration and adoption of Department Strategic Plan (DSP).
Academic Senate	Elaboration and adoption of University Strategic Plan (SP).
Board of Directors of Departments	Presentation of the University Strategic Plan
Board of Directors (CdA)	Endorsement of the University Strategic Plan
Academic Senate	Adoption of the University Strategic Plan

* The *Academic Support staff* offers technical help to the Departments and Research Centres for elaborating their Strategic Plan. It is composed of: the Delegate to the Strategic Plan and evaluation processes; the Delegate to the scientific research, the Delegate to teaching; the Delegate to international agreements (internationalisation); the Delegate to the international exchanges; administrative staff and statistical office.

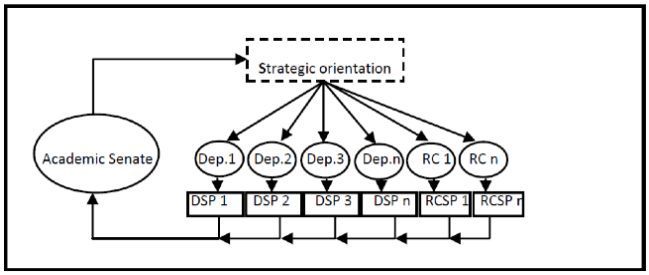
In particular, the AS, on the initiative of the Rector[32], elaborates and adopts the Strategic Plan on the basis of the information and suggestions proposed by academic structures (e.g. Departments and Research Centres). The AS is the guarantee of the integration process of all contributions and of the coherence among objectives and resources.

The Rector during the interview stated that "the AS, interpreting the Statute, defines a participative and bottom up process of elaboration of the Strategic Plan"[33].

[32] The Rector is involved in all these phases, s/he prepares, in cooperation with the Academic Senate, the multi-annual University strategic plan and supervises its implementation after the approval of the Board of Directors. Moreover, s/he drafts the annual report on the implementation progress of the University strategic plan and submits it to the Board of Directors, together with the University balance.

[33] Strategic Plan 2014-2016: Constraints and general criteria (Piano strategico 2014-2016: Vincoli e criteri generali), July 2013, p. 6.

Figure 2 – The trategic planning process



The strategic planning process starts with the identification of the general guidelines on the key areas (research, training, personnel policies and transfer of knowledge) elaborated by the AS. In the second phase, the Departments and the Research Centres develop their strategic plans and the specific goals of their organisation according to these general guidelines; they also have to specify the actions to achieve them. In the third phase, the AS develops the contents and priorities of the University strategic plan, on the basis of the strategic plans produced by all Departments and Centres.

It would be important to analyse the process resulting in the final document (SP) from a participatory evaluation perspective in order to understand if the phases of elaboration actually followed a *bottom up* process. Certainly the second phase involved a participatory process: ten Departments and three Research Centres contributed with their departmental strategic plan (each one has worked out a document at least 30 pages lengthy). However, then final choice of themes and the identification of priorities (and financial resources) have been set by the bodies of governance (AS and Board of Directors), without any public consultation with the academic community.

1.2.4 Financial framework

Funding to the academic institution

The main source for up-to-date information about the funding of the University of Trento is the Financial Statement 2013 and the interview to the General Director. The document, that presents the amount of public and third party funding, is available on the University website[34].

> *"Most of the budget is allocated to the operation of the organisation, not to departments; the costs for the staff structure and operating expenses (electricity, heating, etc.) are incurred at the central level of the University. These are general priorities and fixed; then there are the variable costs and those are most at risk in case of spending cuts. […] Beyond the fixed costs, there is a budget share that is divided among the departments for their operation, research, teaching and internationalization, based on criteria decided by the AS. The AS presents the criteria to the Board of Heads of Departments and receives their feedbacks, taking into account the specificity of each discipline – e.g. research costs, the ability to attract external funding and scientific productivity (of members of the departments)."*
> (General Director)

Total revenues for 2013 amounted to 181.1 million euro, of which 154 million consist of grants received by public funding: 74.7% is related to operating grants (€ 115.1 million),

34 http://goo.gl/hExbZw

11.0% is related to capital grants, 8.7% is related to contributions to research and teaching, and the remaining 6.0% relates to other revenues. Table 2.3 describes in detail the total revenue in 2013.

The contribution of the Autonomous Province of Trento (PAT) for operating expenses amounts to 109.2 million euro. This includes the allocation foreseen in Guidelines to cover specific and common costs incurred during the year, as well as costs for investment, excepting construction expenses. Contributions received by the EU amount to 1.8 million euro and mainly relate to grants for international mobility. The Fondazione Cassa di Risparmio di Trento and Rovereto (Caritro Fundation) financeda total of 1.3 million, and the contributions from other entities amounted to 2.3 million, largely dedicated to PhD scholarships.

Research and teaching activities collect funds for a total of 21.6 million euro. These activities include: commercial revenues, contributions to research and teaching, contracts in progress. The General Director explains:

> *"Public funding is predominant and it will remain so [...] Today, we are in easier situation in financial terms compared to other public universities, however, consistently with them we will follow the same trend. We take for granted that resources are declining, in fact much emphasis is given, even in the SP, to the ability to raise funds through participation in competitions and to ensure that research is self-financing. We know that Italy gives to EU an amount of billions and it is able to recover only a small part, there are possibilities to improve.*

Table 2.3- Revenue from research, teaching and grants (2013)

		Amounts in Euro 31/12/2013	%
i)	**REVENUES FROM RESEARCH, TEACHING AND GRANTS**		
A.1 Own revenues		**25,819,470**	**14.25**
i)	Revenues from teaching (fees)	2,779,222	
ii)	Tuition payments	16,163,392	
iii)	Recoveries and reimbursements for teaching	(10,862)	
iv)	Revenues from research, technology transfer, meetings	6,123,389	
v)	Revenues from EU ordered project	110,330	
vi)	Revenues from intellectual property and rights	183	
vii)	Other revenues and income	653,816	
A.2 Changes in inventories of work in progress, semi-finished and finished goods		-	
A.3 Changes in contract in progress		**1,332,461**	**0.74**
A.4 Increase in non-current assets for in-house-work		-	
A.5 Grants and other revenues and income		**153,976,092**	**85.01**
i.	Operating grants	115,064,043	
ii.	Capital Grants	16,361,211	
iii.	Grants for research and teaching	13,385,147	
iv.	Other revenues and income	9,165,691	
TOTAL REVENUES FOR RESEARCH, TEACHING AND GRANTS		**181,128,023**	**100**

A.1 Own Revenues

"Own revenues" in 2013 amounted to 28,8 million euro, including three macro-categories: revenues and tuition payments, amounting to 18,942 million euro (table 2.3); revenues from Research, Technology Transfer, Meetings, amounting to 6,123 million euro, other own revenues including revenues from EU ordered projects; other revenues and income and revenues from intellectual property rights (764,329 €).

A.5 Grants and others revenues and incomes

First, we shall focus our attention on the operating grants (the amount of money of organisational management, and administration, see table 2.4): the large part of that amount is a contribution of the Autonomous Province of Trento, 109 millions of euros.

Starting from 2012, grants from the Autonomous Province of Trento have been granted on the basis of the *Guidelines (Atto di indirizzo)*, adopted by the Provincial Committee on 28 September 2012 (resolution no. 2033), applying the proxy about university, which establishes grants given to the Province by type of aid.

The new financing model is made up by the following fees: 1) base fee; 2) programme fee; 3) premium fee; 4) building fee (p. 46, Financial Statement, 2013).

Table 2.4 - Operating Grant

Description	Amounts in Euro 31/12/2013	%
Grants from the Autonomous Province of Trento	109,224,434	94.92
Grants from the EU	1,854,885	1.61
Grants from others	2,264,238	1.97
Grants from Government	375,810	0.03
Grants from Fondazione Cassa di Risparmio di Trento e Rovereto	1,333,201	1.16
Grants from other local bodies	11,475	0.01
TOTAL	**115,064,043**	**100**

European Union grants refer both to scholarships, above all International mobility projects(Lifelong Learning Programme – Erasmus, Averroes), and to projects financed within the institutional activities; the lower amount compared to 2012 is due to the closing of some projects/initiatives.

Grants from others relate to grants received from others private and public organisations to implement research doctorates and are regulated by specific agreements.

Government grants decreased (375,810 €) as a result of the Delegate Law and, compared to the prior year, they included almost exclusively the portions of revenues related to grants collected in previous years for scholarships and different projects which were deferred to 2013 on an accrual basis.

Table 2.5 – Grants for Research and Teaching

Description	Amounts in Euro 31/12/2013	%
Grants from the EU	7,423,819	55.46
Grants from the Autonomous Province of Trento	1,110,276	8.29
Grants from companies and social institutions	1,942,968	14.52
Grants from Government	1,576,953	11.78
Grants from institutions and public administrations	1,059,180	7.91
Grants from Municipalities	267,543	2
Grants from Regions	4,408	0.03
TOTAL	**13,385,147**	**100**

The full amount provided by the "Fondazione Cassa di Risparmio di Trento e Rovereto" (Caritro Foundation) in accordance with the financing agreements is euro 1,347,692; the difference of euro 14,491 relates to funding for two conventions (Caos and RAW).

Information on the Grants for Research and Teaching activities, presented in Table 2.5, describe the amount of funding from different public and private institutions, originating from particular agreements or funding competition, the latter in particular relating to EU and Government funds.

System to allocate funding within the academic institution

Funding is distributed among departments, research centres and organisational units for didactics, research and students services.

Funding headings assigned to academic structures are: *a)* operation of the structure; *b)* teaching; *c)* research; PhD programmes split in *d)* PhD scholarships, *e)* mobility of PhD students/holders*, f)* PhD committees; *g)* training workshops; *h)* Strategic Plan 2014-2016: activities addressed to students; *i)* internationalization.

Funds allocation to a) the operation of the structures is based on a combination of weighed criteria/indicators: number of academic members of the structure (weight 0.25), number of students enrolled in degree courses offered by the structure (weight 0.55) and number of degree courses offered by the structure.

Funding allocated to b) *teaching activities* include: payment for extra didactic hours beyond the compulsory teaching hours of each academic[35]; additional compensation paid to tenured researchers; didactics support activities; payment relating to socio-health and linguistic courses. The total amount dedicated to the teaching activities of each structure is calculated considering: the didactic capacity of the departments , the didactic necessities (based on numbers of students, their dropout rates, their regularity in studies), and the balance between teaching supply and the organic of the department.

C) R*esearch funding* is allocated by three criteria: number of academic members of the department, their scientific productivity/performance and their capability to attract funds[36].

[35]Full and associate professors have to teach 120 hours during the academic year and assistant professors 60 hours.

[36]The performance of an academic staff is based on its productivity: this assessment is used by central university bodies and department to allocate research funding, but it is not an incentive based wage system.

Funding allocated to *PhD programmes* (d, e, f) are based on three weighed criteria: scientific productivity/performance of committee PhD members (0.70); average for the last three years of PhD scholarships not funded by the university (0.20) with a limit of 25%[37]; attraction capability (0.10). The latter criterion, attraction indicator, is based on three parameters: ratio between off-site students and overall students; ratio between students graduated in a foreign university and overall students; ratio between the number of applications and announced positions. The overall cost of PhD scholarships is managed by departments and/or by the Office of Teaching Resources and students services.

Funding addressed to g) *training workshops* are allocated to specific departments: Physics, Civil, environmental and mechanical engineering, Information engineering and computer science, Industrial engineering and Centre for integrative biology (CIBIO).

A h) *specific fund* is allocated according to the Strategic Plan 2014-2016 in order to develop services for students and it is based on detailed proposals elaborated by structures/departments. The activities funded are: seminars, conferences, soft workshop and honors program.

Funding dedicated to i) *internationalisation* include three shares: an equal share for each structure/department (10.000 euro), Fulbright quota (2.000 euro for each "Fulbright Chair" on going at the department/structure) and a variable quota share. The latter is calculated by 5 weighted indicators: number of PhD students graduated in a foreign university (0.30), number of undergraduate students with foreign baccalaureate (0.30), number of graduated students with a foreign degree (0.30), number of months of Erasmus scholarship of outgoing students (0.05) and number of overall CFU recognised to students as part of Erasmus programme (0.05).

About recruitment and career progression, the General Director explains:

> *Regarding the recruitment and career advancement of the academic staff, we should be aware of three elements in order to decide: budget constraints, research and teaching needs of the University and the enhancement of people excellence. Frequently, the decision-making policies are focused on the academics' competences and not on the requested profile within the organization, while today, especially with the strictly control on teaching, it should be considered the teaching needs of the University. It is necessary to consider the organization as a whole, the policies of recruitment and a promotion of career should be based on a balance between effective training offer, which defines the teaching competences needed by the University, the feasibility of budget and person's expertises. [...] This is as it should be. In practice, however, the mechanism is complex and the context is constantly changing, so it is difficult in the decision process be able to consider the overview as a whole.*

The Ministry of Education, University and Research in agreement with the Ministry of Economy and Finance, in fact, approved a regulation (Law n. 1/2009; Regulation n. 478, 27th March 2009) on employee turnover (academics and administrative personnel) of universities. They introduced a system calculation based on virtual financial costs (Battistin, Checchi, Verzillo, 2014) of universities personnel in order to control their expenses in the long term at national level. Following this system, it has been assigned to each university a specific score (the unit of measure is 1 point = full professor), named *punti organico* (POE), proportional to the cost supported by the organization (e.i. the University, the Department).

Therefore, the processes of recruitment and career progression relating to each department depend on the sum of the POE that they have at their disposal. Different academic levels

[37] A single doctorate cannot weigh more than 25% (of the total amount of resources).

have different values: a Full Professor equals 1 POE, an Associate Professor 0.7 POE, an assistant professor (with permanent or temporary contract) corresponds to 0.5 POE. POE are calculated at department level, but management decisions are taken both at university and at departmental levels in order to consider the differences relating to the average age of departments and the strategy for the development of the university.

(Only) When an academic member leaves his/her position (movement to another university or retirement), the university has the possibility to use this resource (in terms of POE) to hire someone else. Starting from 2014, the University of Trento has the possibility to plan 100%[38] of employees turn over thanks to a particular agreement with the Autonomous Province of Trento (unlike other Italian Universities that have a turn over from 20% to 50%, calculated taking in account cost parameters and performance index). Therefore, e.g. when a Full professor retires, the University maintain his/her total POE value (that is 1). At university level this point is split in two: half of it (0.5) is still assigned to the department and half of it (0.5) will be managed at the central level. If a department wants to open a position, it has to cover the overall score of POE, in particular for tenure track positions[39]: it is necessary to have 0.7 POE in order to guarantee resources not only for present position*s* as assistant professor (0.5) but also for future position as Associate Professor (plus 0.2 POE).

Starting from 2014, the Academic Senate has approved some exceptions to this rule in order to promote the recruitment of academics in their early career (assistant professor positions), the gender balance in academic positions, and the process of internationalization and excellence. First, when a fixed-term contract of an assistant professor ends, the department can maintain the total POE (0.5) of this position if it decides to open a vacancy in the same position. Furthermore, the central level of university will contribute with the 25% of POE needed (until resources are available) when departments decide to promote:

• academics coming from foreign universities and academics which have won international and excellent projects (e.g. ERC);
• full and associate professors which were working in another university than the University of Trento;
• academics of the gender underrepresented among the professors and assistant professors of the University of Trento.

1.2.5 The ideological underpinnings

The Gelmini Reform enacted in 2010 introduced important changes in the university governance in terms of Universities autonomy and Governmental institutions control and relationships between central governing bodies and Universities. The Italian Government promoted a policy based on expenditure cuts and performances improvements, following

[38] Universities have to respect another criterion, that is the total amount of their expenses for personnel: the University of Trento cannot exceed the 65% of the overall expenses (for the others national universities the maximum percentage for this item of expenditure is 80%).

[39] "Tenure track positions - RTDb, 'ricercatore a tempo determinato di tipo B:) a sort of tenure-track with a maximum duration of 3 years, not renewable. It foresees both research and teaching duties. The access to this position is subordinated to a previous experience as fixed-term researcher of type A (or 3 years as post-doc research fellow before the Gelmini reform). At the end of the third year, after receiving the national scientific qualification' (introduced by Gelmini reform, L.240/2010), the hosted university can call the researcher as permanent associate professor" (3.2 GARCIA deliverable, p.41; see also 7.1 GARCIA deliverable, p. 10-11).

the tendency of Higher Education (HE) reforms implemented in other European and Western countries influenced by the New Public Management (NPM) rhetoric.

The Article 2 (L. 240/2010) defines the main governing bodies of universities, their functions and elections. The analysis (Donina et al., 2014; Marra, 2012; Rossi, 2013; Regini, 2014) of the reform underline its continuity and discontinuity elements and deal with the consequences of the different distribution funds model and performance/quality control mechanism. There are three main central governing bodies: the Rector, the Academic Senate and the Board of Directors. In addition, two auxiliary bodies are introduced, the Board of Auditors and the Evaluation Group, and a managerial body, the General Director.

The law introduced a clearer separation of authority between scientific and administrative-financial affairs (Donina et al., 2014):

"[…] according to a principle of not overlapping, the Academic Senate manages all scientific aspects and the Board of Directors manages the financial and administrative ones" (General Director).

It also tried to establish a homogenous governance model among universities. Although, according to several analysis and researches (Rossi, 2013; Marra, Regini, 2014), we cannot identify an organisational uniformity because there are different possible interpretations that have been implemented in different ways by universities; in particular relating to the role and functions of General Director or tothe composition of Academic Senate and of the Board of Directors.

The University of Trento differs from the other italian universities both in terms of its organisational structure and in terms of decisional constraints. At the same time of the approval of the Gelmini Reform, the Italian Government approved a decree (142/2011) that gave the Autonomous Province of Trento (PAT) financial and regulatory authorities on the University of Trento.

"We always feel like we are walking through a swamp: we wonder if we have to follow the national standard and rule or not. Even if the privileged relationship with the Province took some advantages, the situation is not simplified, rather it is very complicated, however, these two added values – 100% of turnover and more flexibility of the expenditure typology – than other universities do not have, remain objectively positive." (General Director).

Three important features of the organisational changes introduced at national level and at the local level (Province of Trento) by recent regulations that influenced the relationship among universities and other local stakeholders and the internal decision-making process.

1. The introduction of external members (and their number) in the Board of Directors is a crucial element that has been highly discussed. From the academic community perspective, it is a limitation of the autonomy of university, from the legislator perspective, it is a guarantee of transparency and accountability. UNITN is one of the few universities that has more external members (4) than internal ones (3)[40].; moreover three of the external members are nominated by the PAT and one from the Ministry for Education, University and Research.

   "*The Board of Directors deliberates on the macro decisions that have a financial impact, the training offer as a whole, the Strategic Plan, the plan of the staff and the total POE points available, and the*

[40] There are also 2 student's representatives.

budget [...] has a controlling influence over the financial aspects but does not deal with the content of decisions." (General Director).

2. The second feature is concerned with the relationship between the central administration of university and the departments. The Law 240/2010 cancelled Faculties (responsible of the organisation of teaching services), promoted the constitution of new bigger departments (that at the present have teaching and research duties) and changed the representation at the Academic Senate. Before the Gelmini Reform, the members of the AS represented the departments, now they have to represent the institutional scientific-disciplinary differentiation. An additional body has been estabilished in order to maintain a direct relation among the departments, the AS and the Rector: The Board of Heads of Departments.

   "In my time as Rector, my orientation and the orientation of the AS was an orientation of strong involvement of the Board of Heads of Departments, that is the organ that collects the representation of departments. I tried to maintain an open dialogue with the Board of Directors, I convened it every two weeks, so very often. [...] to keep an open dialogue and combat a limit of this Statute that did not give enough voice to the structures in communicating to the central management." (Rector).

3. The art. 2 of the Law 240/2010 also introduced the role of General Director in an ambiguous way. In fact, its duties and functions have been introduced in Universities Statutes in different forms, and it could be seen: as an administrative body with executive tasks or asa central managerial function connecting academic governing bodies and administrative structure (Marra, 2012). The duration of the mandate of the Rector (6 years) and of General Director (4 years) differs, and it is an important element to guarantee the independence of the General Director, but it is not sufficient to ensure separation between academic and administrative affairs management.

As already mentioned, the Gelmini Reform has been framed according to the New Public Management (NPM) rhetoric: introduction of market-like mechanisms, increase of competition (for students and resources), centralisation of decision-making powers in contrast to inefficient governance (De Vries, Nemec, 2013).

> "*The major intents of NPM reforms were to reduce public sector expenditures and to make public organisations more efficient by substituting old public administration for a new one, based on the principles that guide private sector organisations and market laws*." (Donina, et al., 2014).

According to Donina et al. (2014), the reform did not change the University system towards this sense. Indeed, the state maintains a strong control role over universities operation and management by defining: expenditure and recruitment regulations, didactic offer parameters, quality standards and evaluation mechanism, funding distribution. All things considered, regulation and control by the central government are still very strong (maybe became stronger), and this is why it would be more appropriate to describe the Italian HE reform through the New-Weberian approach. This perspective, in fact, focuses on efficient and high-quality procedures and measurable results combining autonomy and control.

1.3 Decision making bodies and decision-making process in STEM and SSH Departments

1.3.1 Introduction to Department of Information Engineering and Computer Science (DISI) and the Department of Sociology and Social Research (DSRS)

Department of Information Engineering and Computer Science (DISI)

The Department of Information Engineering and Computer Science (DISI) was founded in 2012 after the Gelmini Reform and the new Statute of UNITN. The new department (DISI) has replaced the old one, the Department of Information and Communication Technology (DIT), founded in 2002. The official presentation of the DISI states that the Department "*provides a dynamic and qualified response to the ever-increasing demands in the field of ICT, arising at the local, national and international level*"[41].

The Department includes two primary areas of the ICT: Computer Science and Telecommunications. The aim of DISI is to develop these disciplines individually, but also promoting interdisciplinarity in order to develop the entire spectrum of competencies and skills needed to develop advanced technologies that underpin innovative applications and services.

The **Regulation of the DISI**, approved in April 2013, identifies the following key activities[42]:

- promote and coordinate research activities in ICT and related disciplines, while respecting the autonomy of each of its members;
- promote and coordinate teaching activities for BS and MS degrees, masters, internships and any other educational program activated by the DISI;
- promote Graduate Schools within the DISI, in order to identify and achieve high educational and research objectives, following the rules set by the University regulation on PhD Schools;
- contribute to the University educational offer in the ITC disciplines;
- collaborate with other Departments and Centres for the development of interdisciplinary research areas.

The institutional positions in the Department are two: the Director (at present, Prof. Gian Pietro Picco) and the Department Board[43]. The Director is elected among the full professors by all members of the Department Board, remains in office for three years and may be consecutively re-elected once. The Department Board includes all professors (full, associate and assistant professors) for a total of 54 people (48 men and 6 women), one representative for the administrative staff (a man), one representative for postdocs (a man), two representatives for PhD candidates (one man and one woman) and three representatives for students (two men and one woman).

The **Director of the Department**:

- represents and manages the Department;
- implements the multi annual strategic plan approved by the Department Board;

[41] Official Department website: http://www.disi.unitn.it/department

[42] The complete list of activities is available at: http://www.disi.unitn.it/governance

[43] The Regulation of the DISI includes also the Executive Board, but the DISI decided not to have it.

- coordinates the educational and research policies of the Department and works for their implementation;
- chairs the Department Board and oversees the implementation of its resolutions;
- accomplishes all the functions set by the Regulations of the DISI and the Statute.

The **Department Board**:

- submits to the Academic Senate the proposal for the Multi-Annual Strategic Plan of the Department which contains the actions to be performed in education, research and external relationships;
- delivers to the Senate - in line with its Multi-Annual Strategic Plan - proposals in terms of recruitment and career development of teachers and researchers;
- deliberates on educational offer and educational programming;
- performs the other functions assigned by the Regulations of the Department and shall decide on any decision that the Director submits to it.

The Director and the Department Board may decide to appoint delegates for the implementation of specific tasks. The Regulations of the Department also provide for a Joint Committee[44], composed by an equal number of professors and students, which supervises the promoted educational activities.

The DISI is organized in **eleven research units**[45] and offers: 3 BA degrees; 2 MS degrees (in English); 3 Double/Joint Degrees (in English); 1 Doctoral School (in English).

Department of Sociology and Social Research (DSRS)

The *Department of Sociology and Social Research* (DSRS) took off on 29 October, 2012, after the approval of the new Statute of UNITN. The DSRS scientific areas span across different disciplines. The new DSRS (which replaced the old two Departments) has been planned with the goal to merge distinct research and teaching activities, previously managed separately, respectively, by the former Faculty of Sociology and the old two departments (Department of Sociology and Social Research and Department of Theory, History and Social Research).The Faculty of Sociology was established in 1962. It was the first faculty of sociology in Italy, and it was the only one for long. It contributed to the construction of the sociologist (with a specific professional identity) in Italy.

The official presentation of the DSRS highlights the strong inter-disciplinary character and the wide variety of approaches (theoretical and empirical research) of the Department: *"sociologists, political scientists, historians, economists and anthropologists work together in their teaching and research activities"*[46].

[44] The Joint Committee shall: i) oversee the functioning of the educational activity; ii) assess the quality of the educational activity and of the services provided to students; iii) guarantee the study right; iv) deliver to the Council of the Department an annual report on the educational activity. The Joint Committee is composed by the Education Delegate (man), two members of the Department (men), elected every year, and three students (two men and one woman). The Joint Committee remains in office for two years.

[45] See Appendix E for the names and descriptions of the Research Units of DISI.

[46] Research in UniTrento – Skills for innovation, p. 45: http://goo.gl/xWTJzq and official Department website: http://web.unitn.it/en/sociologia/28032/history

The **Regulation of the DSRS**, approved in February 2013, identifies the following key activities:

- promote and coordinate teaching and research activities in sociology and other social science disciplines, while respecting the autonomy of each of its members;
- promote the relationship with external institutions and organisations in order to foster knowledge diffusion.

The institutional positions in the Department are four: the Director (at present, prof. Giuseppe Sciortino), the Department Board, the Executive Board and the Committees of the degree courses.

The **Director** and the **Department Board** have the same functions and duties and mandate of duration described for the DISI. They may also appoints delegates for the implementation of their duties.

All professors (full, associate and assistant professors) are members of the Department Board (55 people: 34 men and 21 women); the administrative staff has two representatives (one man and one woman), postdocs have one representative (a woman), PhD candidates have one representatives (woman) and students have five representatives (3 men and 2 women). The Regulations of the Department also provide for a Joint Committee, composed by an equal number of professors and students, which supervises the teaching activities.

The **Executive Board**[47] helps the Director in the fulfilment of his duties and deliberates on the issues delegated by the Department Board. It composed of 8 members: the Director, the deputy director-acting director, two representatives of full professors (men), two representatives of associate professors (men), two representatives of assistant professors (one man and one woman)[48].

The **Degree Courses Committees**:

- coordinate all teaching activities;
- propose to the Department Board the annual degree program;
- submit to the Council any proposals for changes in the Department and/or the teaching regulations of the course of study of which are responsible for.

The President of this Committees is elected among all professors (full, associate and assistant professors), remains in office for three years and may (consecutively) re-elected only once.

The DSRS is organized in **nine research units**[49] and offers: 3 BA degrees; 3 MS degrees (in English); 2 Double/Joint degrees (in English); 1 Doctoral School (in English).

[47] The executive board also exists in the DISI regulation but it has never been nominated.

[48] The representatives are elected among professors in the same position (full professors elect their representatives, the associate and the assistant professors do the same); the duration of the executive board's mandate coincides with the mandate of Director of Department.

[49] See Appendix E for the names and descriptions of the Research Units of DSRS.

Table 3.1 – Governing Bodies of Departments by sex*

	DISI		DSRS	
	M	F	M	F
Director of Department	x		x	
Vice-Director of Department	x		x	
Department Board Members	48	6	34	21
Delegate of Director of Department	18	2	15	8
Executive Board (Giunta)	N.a.		6**	1
President of Degree Course Committee	N. a. ***		6	0
Vice- President of Degree Course Committee	N.a.		6	0
Responsible of research units	11	0	7	2
Coordinator/Director of Doctoral School	x			X
Vice-Coordinator of Doctoral School	x		n.a.	
Members of Doctoral School Committee	11	1	18	2

** The Data are updated an March 2015.*
*** The Director of Department and the Administrative staff member are not included.*
**** At the DISI there is not the Committees of degree courses, there are: one delegate to teaching activities (a man) and three responsible professor of the degree courses (all men).*

As table 3.1 shows, there is a strong gender imbalance in all the governmental bodies of the two Departments. At DISI, there are only 6 women (out of 54 members), but only 4 (2 associate and 2 assistant professors) are in permanent positions; none has a responsible role. At DSRS women are more numerous (21 out of 55 members), but only few have some responsibility.The two Departments differ in terms of governing bodies: the DSRS has the Executive Board and the Degree Course Committees which do not exist at the DISI.

1.3.2 Allocation of research funding within the Departments

Department of Information Engineering and Computer Science (DISI)

At DISI the research funds are allocated both at individual level and at research unit level. Each professor receives a fixed amount (approximately 2000 euro per year), independently from the individual's productivity. The 11 research units receive funds on the basis of their productivity, measured through a performance composite index This is computed on an individual basis following several criteria. Each professor (full, associate, assistant) is a member of at least one research unit (up to a maximum of three), with a weight in each research unit proportional to his/her share (e.g. a person present in two research units, has 50% membership in each). The membership percentage identifies the scale through which each person contributes to the reach unit performance index.

Yearly, each professor is evaluated on the base of weighted criteria: publications, projects, teaching, institutional assignments and awards:

a) **publication criteria** include (in order of importance): books, book chapters, patents, papers in A, B, C ranked journals and conference publications;
b) **projects criteria** are based on the project financing institution (local, national, European; public or private) and its total amount;

c) **teaching assessment**: the number of courses, the number of credits assigned for each course, the number of students attending the course.

The publication and project criteria are the most important ones for the individual performance index. The performance index includes two additional criteria (so called 'adjustment factors'): **institutional assignments and awards**. The professors, which hold an institutional position (e.g. Director of Department, Delegate of the Rector, AS member, etc.), have additional scores/points for the time they spend on their position. The professors who acquire particular awards, participate at international conferences etc. have additional scores. The combination of all these criteria produce an individual performance index. And this index contributes to the research unit performance index, which in turn determines the allocation of research funds.

Everyone knows the evaluation criteria and the results by research units, but the individual performance index is not made public. This performance index is also used to allocate the resources available for PhD programs and laboratories[50]. This system for the allocation of funds was elaborated in 2002 by an ad-hoc commission made up of three professors and one technical-staff member. At present, the Department Board is re-considering the weight of the teaching criterion, given the importance of this activity within the new Department, after Gelmini Reform (when also teaching was managed by the new institutional structure).

Department of Sociology and Social Research (DSRS)

At DSRS the budget is allocated at individual level through two different mechanisms: first, each professor receives a fixed amount (approximately 500 euro/year), regardless of individual productivity; second, an additional funding is distributed on the basis of an index of individual performance. This is based on two weighted criteria: publications (70%) and the ability to win projects on a competitive basis (30%). There is also a symbolic reward (around 1000-1500 euro) for the projects presented in competitive calls if they received a positive evaluation, but not funded. In short, the bulk of resources are distributed at the individual level according to the following two criteria:

publication criteria (of the last 5 years) in order of importance[51]: book (A and B rank editor); papers in journals (ranked in A and B); book editorship and book chapter (A and B rank editor); research report and working papers;

Project criteria: based on the scale of funding received in the last five years.

Comparison of the resources allocation system between the selected Departments

There are significant differences in the distribution of research funding in the two departments.

[50] Yearly, the new PhD students are assigned to the research groups through their performance index. In 2012, when the DISI was founded, the laboratories were allocated among the research units following the performance index.

[51] The members of the department with double belonging receive research funds in proportion to the research conducted at the department, which currently amounts to 50%.

First of all, at the DISI the funds are allocated to the research units, but at the DSRS they are allocated to single professors. According to the Director of DISI, that should promote the aggregation of professors (internal networking) and realize some economies of scale in the use of resources: *"it gives more flexibility in using the resources and creates a better integration among people, this is not an undifferentiated scheme where each person is only responsible for him/herself, [...] I think it is working quite well."*

Second, at DISI the performance index is based not only on publications and projects, but it also includes teaching and institutional activities, over the last year; at DSRS the performance index is based only publication and project criteria, and refers to the last five years.

Third, at DSRS, there is a monetary reward for projects (submitted, even if not financed). Even if the amount of fund is very small, this could be seen as an useful incentive in order to promote the participation in international calls (e.g. EU calls, such as Horizon 2020).

1.3.3 Women and men pursuing their career within the DISI and the DSRS

Starting from 2010 (after the Law 240/2010), the academic career structure includes eight different positions[52]: Phd students; postdoc; temporary Lecturer; researcher type A; researcher type B; Assistant Professor, Associate Professor; Full Professor (see Appendix F, tab. 8).

In the Italian University, salaries are determined by law at the national level (Law 240/2010) for all positions, except for temporary lecturers (these contracts depend from the single university decision)[53]. Seniority plays an important role (increasing with the rank), though since 2011 pay increases related to seniority have been frozen (as an effect of fiscal consolidation).

Table 3.2 – Gross annual salary by department, academic position and sex (2013)

	Gross annual salary			
	DISI		DSRS	
Academic Position	M	**F**	**M**	**F**
Full professor	74,509.40	0	84,537.87	73,990.83
Associate professor	52,578.66	54,234.99	60,880.47	60,337.18
Assistant professor	37,123.43	33,573.78	43,324.26	44,772.67
Fixed term assistant professor	42,207.11	33,937.82	40,180.38	36,114.71

To understand the career process in the Italian university system it is useful to start from the policy adopted at UNITN regulating the career promotion of assistant professors.

After the publication of the *national scientific qualification* results, the AS approved (March 2014) an extraordinary promotion plan for assistant professors that got the *qualification*, in associate professor positions. This plan included an *"excellence* promotion policy": the 15

[52] For details on the recruiting process of these positions see GARCIA D7.1, pp. 9-11; for details on duties and rights identified by law see *Gap Analysis. Politecnico di Torino",* pp. 6-7 available at: http://www.polito.it/ricerca/carta_europea/gap_analysis.pdf

[53] The annual gross salary of postdoc researchers is set from 23.002 to 29.795 euro (Law 240/2010).

most deserving assistant professors that got the qualification could be promoted, independently from the resources available in their own department (i.e. the resources needed were made available at the central level). The AS charged the *Committee for recruitment and career advancement* to define the evaluation process and to identify among the 120 potential candidates (76 men and 44 women) these 15 "excellent" assistant professors. The assessment criteria included several individual quantitative indicators (publication indexes and scores, etc.). Out of 15 "excellent" assistant professors there were only 3 women. This "excellence promotion policy" has been highly criticized (also in the institutional forum) for the lack of transparency in the evaluation process (i.e. no information on how the criteria have been applied and how the external referees have been identified). Furthermore, the unbalanced gender distribution among the selected candidates has been pointed out. This has raised doubts about the gender-neutrality of the criteria used and the evaluation process, and concerns about the negative effects on the career promotion process for women at UNITN. As a result, the AS, under the pressure of the Rector, made a proposal (approved by the CdA) to introduce an incentive to promote the gender balance in academic positions (as already described).

Working conditions of postdoc researchers

Postdoc researchers formally have only research duties; their contracts last from 1 to 3 years (consecutive). After the PhD graduation, the maximum duration of the postdoc contract is 6 years. According to the Law 140/2010, after the PhD graduation, the maximum duration of the postdoc contract was 4 years. This limit has been extended in 2014 (DL 192/2014) due to the impossibility of a large number of young researchers to have access to other academic positions. This is a solution that postpones the problem, but does not help to solve it. In fact, the Law 140/2010 also imposed a limit of 12 years after the PhD graduation for becoming associate professor (it has not been extended).

The unstable conditions of researchers is exacerbated by the precariousness that characterises this position, due to the impossibility of access to the welfare system (including unemployment benefits). Indeed, the postdoc researcher are not considered employees (as if their position was the continuation of that of students).

The postdoc researchers are not considered part of the institution: they have no representatives in the central government bodies of university. The department representatives are member of the same consultation body of Phd candidates (considered as students): the Committee of postdoc and PhD students. This body does not participate in the decision making process, it has *advisory capacity in the field of organizational, managerial and educational policies of PhD students and Postdocs.*

At department level, they are not member of the Board of Department; only one representative has the right to participate to the meetings of the Board (with some limitations, depending on the issue under discussion).

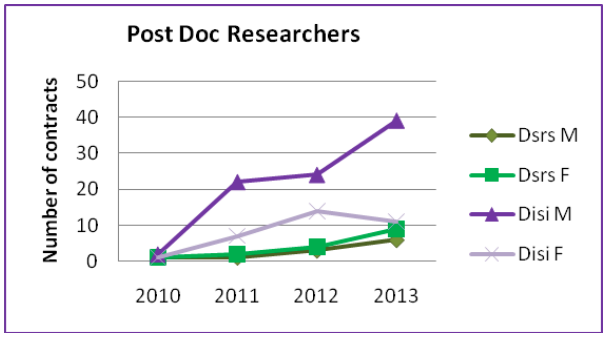
Their productivity (publications and projects funded) contributes to the department performance evaluation, but they are not entitled (directly) to research funds. They are also excluded from the mobility funds (available for PhD students). This is a serious problem given

the importance of international experiences and conferences participation in the development of their academic career[54].

The fact that postdoc researchers are neither students nor workers weakens their position in terms of access to university services and rights. In some cases, they also have informal (not recognised) responsibilities such as administrative, teaching and duties. Relating to this issue, the Director of DSRS affirms: "*Postdoc researchers should be considered workers, they have a contract and should have the unemployment insurance and all benefits*".

The figure xy shows the postdoc researchers population in the selected departments. It is noticeable the increase of these contracts at the DISI where the ability to attract external funding is very high[55].

Figure 3.1 – Postdoc researchers by department and sex, 2010-2013



PhD programs at the selected departments[56]

Department of Information Engineering and Computer Science (DISI)

The ICT International Doctoral School[57] was founded in 2001.

The number of applications for admission to the school has grown remarkably with time, from 62 in 2001/02 to 2587 in 2010/11. The research carried out at DISI, thanks to a solid network with international corporations and research centres, has made available important training opportunities to more than 600 PhD students since 2001.

The steady increase in the number of applicant to the Doctoral School has also been matched by an expansion in the number of study grants offered to PhD students. There were 21 study grants in 2001 and 82 in 2010. Some of these grants are awarded by research centres (24 in 2010/11) and businesses (4 in 2010/11).Given the high number PhD students, the Doctoral School's committee, made-up of doctoral student advisors, consists of 60 participants (12% from foreign universities or Research centres).

[54] Other Italian universities (Bologna, Torino, Polytechnic of Milan) allocate mobility funds to postdoc researchers.

[55] Table 8 in Appendix F describes in details the population of the academic staff in the selected departments.

[56] Table 9 in Appendix F describes in details some characteristics of Doctoral Schools.

[57] Detailed description of the Doctor Program is available at: http://ict.unitn.it/program

Research projects carried out at DISI by the various research teams are matched by teaching programs, developing courses for master and doctoral programs organised by the school[58].

Every doctoral student, during his/her three years doctoral program, spends a period (at least one semester) of training and/or research in other universities, or attending conferences and international events. The schools web supplies international contacts to make possible to establish joint-ventures with other prestigious universities around the world (including Austria, Germany, France, Spain and Switzerland). Since 2001 (when the school was founded) more than 150 students got their PhD degree; all of them are currently working in research centres, universities and/or businesses around the world.The majority of the PhD positions have a scholarship. Currently, the gross monthly amount is 1.607 euro. The scholarship net amount varies, depending on the country of residence and on country-specific taxation agreements, but typically ranges from 12.000 to 13.500 euro per year.

Students not resident in Trento receive an additional support (from the University and the PAT) for accommodation, around 200 euro per month.

The admission to the Doctoral Program implies the full-time exclusive engagement of the PhD student. Students enrolled in the Doctoral Program must attend the programs, seminars, lessons and teaching units, carry out research and study activities on a full time basis in the structures designated for these purposes and submit a report on the research completed to the Doctoral Program Committee at the end of each year of study.

Students participating in a co-tutorship program are obliged to carry out study and research activities in compliance with the agreement established with the foreign university.

Department of Sociology and Social Research (DSRS)

The Doctoral School of *Social Sciences* organizes three disciplinary and interdisciplinary PhD programs:

- Doctoral Program in Economics and Management;
- Doctoral Program in Development Economics and Local Systems;
- Doctoral Program Sociology and Social Research.

The Academic Year 2015/16 (i.e. the 31th cycle of the Doctoral School) offers 9 PhD positions, all with scholarships funded by the University of Trento. The School of Social Sciences currently offers “cotutelle-de-these” agreements with the following university partners: Université Paris-Sorbonne, France; Tilburg University, The Netherlands; University of St. Andrews, UK; University of Jena, Germany; as well as potential other partners.

The doctoral program in Sociology and Social Research (SRS) was established in 1981 and joined the School of Social Sciences in 2011. It is on this program that we now focus our attention.

The members of the DSRS have developed over time different international networks and participate in various national and international research projects (funded by the EU, Italian national and/or local institutions); through these networks it is possible to help students to organise visiting periods in foreign institutions as well as thesis co-supervisions.

[58] Description of Doctoral School: http://ict.unitn.it/about

The PhD program in SRS also offers a limited number of positions for joint or double degree programs. The co-tutelle programs are based on agreements between the participating institutions and are carried out through the cooperative supervision of two professors from the partner universities.

The DSRS is also a member of the ECSR (European Consortium for Sociological Research), the ECPR (European Consortium for Political Research), and the ICPSR (Inter-university Consortium for Political and Social Research – Michigan).

Scholarships are paid every two months in advance; the yearly amount of the scholarship is € 13.638,47, gross of possible taxes payable by the PhD student, as foreseen by current Italian legislation.

PhD scholarships may not be combined with other scholarships of any nature, apart from those assigned by Italian or foreign institutions, which may support the PhD student's research activities abroad. The amount of the scholarship is increased by 50% during study periods abroad. Interruptions in the attendance of the School longer than 30 days entail the suspension of scholarship payments.

PhD students are considered as autonomous researchers and asked to participate in all activities. PhD candidates' academic and scientific achievements are evaluated by the program committee, which decides on access to the following years. Students can be involved in supplementary teaching activities; any working activities are subjective to authorization signed by the supervisor.

The admission to the Doctoral Program implies the full-time exclusive engagement of the PhD student. Students enrolled in the Doctoral Program must attend the programs, seminars, lessons and teaching units, carry out research and study activities on a full time basis in the structures designated for these purposes and submit a report on the research work done to the Doctoral Program Committee at the end of each year of study.

Students participating in a co-tutorship program are obliged to carry out study and research activities in compliance with the agreement established with the foreign university.

Table 3.3 – PhD students and graduations

	2009/2010				2010/2011				2011/2012				2012/2013			
	DISI		DSRS		DISI		DSRS		DISI		DSRS		DISI		DSRS	
N of PhD Students	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
	103	32	13	24	101	35	14	12	121	39	11	12	121	43	7	9
	2010				2011				2012				2013			
	DISI		DSRS		DISI		DSRS		DISI		DSRS		DISI		DSRS	
N of PhD graduations	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
	29	12	2	6	26	9	1	9	21	6	9	4	28	11	2	6

1.3.4 Research project and research funding

Two internal competitions were announced at UNITN in the Strategic Plan 2014-16: "Starting Grant Young Researchers 2014" and "University Research Projects Call 2014".**Starting Grant**

Young Researchers 2014[59]. The call was published in June 2014 by UNITN "*in order to support the participation of young researchers in competitive national, European and international calls for proposals"*. The total budget amounts to 192,000 euro; the budget is supposed to cover the costs associated with the development of project proposals submitted in a competitive call (research related travel costs included). 12,000 euro is the maximum amount a young researcher can receive.

Project proposals could be submitted by the young researchers of UNITN: postdocs, fixed-term assistant professors and tenured assistant professors (maximum 12 years from their PhD graduation[60]). There were 20 winners of the call: 9 women (5 in SSH and 4 in STEM) and 11 men (4 in SSH and 7 in STEM).**University Research Projects Call 2014**[61]. The call was published in June 2014 by UNITN to support "*research projects on transversal topics on wide research themes which foresee joint interdisciplinary initiatives involving different UNITN departments or research centers, with a focus on the participation of young researchers and on the cultural, economic, environmental and/or social significant impact of the project results"*.

Full, associate and assistant professors of the University of Trento could submit project proposals with duration of 18 months. Each scientific macro-area identified by the call had different maximum amounts, from 250,000 to 400,000 euro (for the total duration, i.e. 18 months). 13 projects have been financed; each project has from 1 to 3 coordinators which are members of different departments (from 2 to 6 departments). Among the 26 project coordinators there are only 2 women (7.6%).

Both *calls* have been criticized by a part of the academic community. The main criticisms can be summarized as follows:

- lack of transparency in the evaluation process (criteria definition and application);
- lack of transparency in communications procedures of financed and not financed projects (there was no ranking of the projects nor an evaluation index);
- lack of clear reasons in the rejection communication;
- gender imbalance among principal investigators, and no access to data on applicants (including gender composition);
- lack of information on the amount funded for each project.

Department of Information Engineering and Computer Science (DISI)

At DISI, the research projects active in the a.y. 2013/2014 were 168. All the projects deal with informatics, electronics and computing. Men coordinate 165 projects, women 5. Almost the total of research funding (98.35%) received by international, national and local institutions is managed by men (equivalent to 23,098,029 euro), only a very small share (1.65%) by the few women (equivalent to 386,443 euro) working in the department in permanent position.

[59] Summary of the Call (English version) available at: http://goo.gl/TUHAzo

[60] The time limits could be extended up to 16 years and 6 months in the following properly documented circumstances: maternity, paternity, long-term illness.

[61] Summary of the Call (English version) available at: http://goo.gl/YDwBhV

The table 3.4 presents some information on the type of project, the academic position and the sex of the coordinator. It can be noticed that female professors coordinate projects only at the local level; these projects have in general a low budget (see table 3.5).

Table 3.4 – Number of projects by type of project, academic position and sex

		Type				
Academic Position		International	National	Local	**Total M**	**Total F**
Full professors	M	35	10	19	64	
	F	n.a.	n.a.	n.a.		n.a
Associate professors	M	49	8	21	78	
	F	0	0	4		4
Assistant professors	M	6	0	0	6	
	F	1	0	0		1
Fixed-term Assistant professors	M	1	4	3	8	
	F	0	0	0		0
Visiting professor	M	2	0	2	4	
	F	0	0	0		0
Technical staff	M	2	0	1	3	
	F	0	0	0		0
Total		96	22	50	**163**	**5**

Table 3.5 –Amount of research funding in Euro, by type of project, academic position and sex

		Type				
		International	National	Local	**Total M**	**Total F**
Full professor	M	8,522,452	776,025	1,077,136	10,375,613	
	F	0	0	0		0
Associate professor	M	6,610,135	1,510,110	1,313,450	9,433,695	
	F	0	0	386,443		386,443
Assistantprofessor	M	577,885	0	0	577,885	
	F	0	0	0		0
Fixed-term assistants professors	M	35	132,85	82,404	250,254	
	F	0	0	0		0
Visiting professor	M	449,442	0	890,5	1,339,942	
	F	0	0	0		0
Technical staff	M	3	0	1,117,640	1,120,640	
	F	0	0	0		
Total		16,197,914	2,418,985	4,867,573	**23,098,029**	**386,443**

Department of Sociology and Social Research (DSRS)

At DSRS, in 2013, there are 39 research projects covering different issues (health system, organisational wellbeing, inequalities, migration, etc.). Of these, 15 include gender-related issues. Male professors coordinated 17 project and female professor 22.

The table 3.6 presents some information on the projects and the academic position and the sex of coordinators.

Table 3.6 – Number of projects by dimension, sex and position

		Type				
		International	National	Local	**Total M**	**Total F**
Full professors	M	0	2	5	7	
	F	2	0	3		5
Associate professors	M	0	2	1	3	
	F	0	0	1		1
Assistant professors	M	0	1	2	3	
	F	1	0	10		11
Fixed-term assistants professors	M	1	1	1	3	
	F	0	0	0		0
Postdoc	M	0	0	1	1	
	F	0	0	5		5
Total		4	6	29	**17**	**22**

Table 3.7 –Amount of research funding in Euro, by dimension, sex and position

		Type				
		International	National	Local	**Total M**	**Total F**
Full professors	M	0	310	72,14	382,14	
	F	21	0	276,254		297,254
Associate professors	M	0	73,971	50	123,971	
	F	0	0	244		244
Assistant professors	M	0	38	34,181	72,181	
	F	478,494	0	360,067		838,561
Fixed-term assistant professors	M	4,462	33,328	12,295	50,085	
	F	0	0	0		0
Postdoc	M	0	0	307	307	
	F	0	0	449,219		449,219
Total		503,956	455,299	1,805,156	**935,377**	**1829,034**

1.4 Interviews with key player at DISI and DSRS

The Directors of the two departments, DISI and DSRS were willing to discuss about GARCIA project issues. Only information not available in official documents were asked. The interviews with the Directors of DISI and DSRS lasted approximately 45 minutes (conducted between April and May 2015).

Department's visions and strategies: DISI

Departmental Strategic Plan (DSP) 2014-2016 – (DISI)	
General Objective	Guarantee the current level of performance of DISI on the research indicators in the future. In order to maintain international competitiveness, it is important to strengthen the capacity to propose and intercept interdisciplinary connections.
Specific Objectives: teaching	• Strengthen the synergy between of the Department and the "Knowledge and Innovation Communities" (KIC) of European Institute of Technology (EIT) in terms of research, teaching and transfer knowledge activities. • Increase the interdisciplinary in the degree curricula, relying on crosscutting role of ICT technologies, and by using innovative teaching methods. • Expand the internationalization of teaching activities and offer a complete course of study in English (Information and Business Organisation Engineering).
Specific Objectives: research	• Improvement of the interdisciplinary approach to the research activities. This approach is the future of the ICT disciplines because of the increasingly important role of enabling technologies to other areas of knowledge, and society. • The DSP identifies many interdisciplinary issues and makes many examples of collaborations. • The DISI has a well-structured recruitment plan based on a specific approach of the research development. The document identifies three main necessities: • The recruitment of academic staff with complementary skills to integrate the competences of current members of the department. • The recruitment of professors and researchers from institutions of high profile in Italy and abroad. • The recruitment of young researchers. The ability to bet on young brilliant, typically researchers, was one of the fundamental traits that led to the current success of the DISI.
Departmental Strategic Plan 2014-2016 does not includes any Gender Policy, gender-related issue or references to equal opportunities.	

Department's visions and strategies: DSRS

Departmental Strategic Plan (DSP) 2014-2016 (DSRS)	
General Objective	Enhance the research and teaching production and increase the visibility of the Department at national and international level.
Specific Objectives: teaching	• Strengthen the initiatives of orientation in the Bachelor and Master Degree choice and in the job placement. • Increase the number of double degrees, Erasmus exchanges and internships at the Bachelor degree level. • Increase in the supply teaching in English.

	• Increase the language skills of the students. • Increase the flexibility of the postgraduate teaching offer specifically aimed at decision makers and practitioners. • FullyAccomplish the internationalization of the doctoral program.
Specific Objectives: research	• Promote the participation of the Department members in European and international research networks. • Encourage the Department members to publish in international journals and books with peer evaluation system. • Enhance the success in the project competitive calls at national European and international level. • Strengthen the academic exchange programs and co-mentoring of doctoral students and to support mobility for graduated students, PhD students and early stage researchers.
Strategic axes	• Visibility of the Department and University in the studies field on educational and occupational inequalities national and international level. • Interdisciplinary collaborations. • Design and the empirical evaluation of the outcomes of public policies to mitigate the burden of intergenerational inequalities in view of the constitution of society fairer and more efficient than the current one.
Main research and teaching activities fields	• Social and intergenerational inequalities • Sustainability and territory as explanatory factors of the social processes. • Science, Technology and Society. • Transformations of democracy and mobilization processes of globalization and Europeanization. • Gender in research and teaching: a transversal and interdisciplinary perspective. • Recruitment - Training - Post graduate: quality improvement in three-year (The planned activities focus on the teaching activities and students, there is not a real recruitment policy in the DSP).
Evaluation	Each planned activity in the research and teaching field has qualitative and quantitative evaluation indexes, included specific target to achieve.
***Gender policy* in the Departmental Strategic Plan 2014-2016**	
The Gender policy *is integrated in the Departmental Strategic Plan trough the planned activities in* Gender in research and teaching: a transversal and interdisciplinary perspective. *The document describes in details the activities, the results, the needed resources, the qualitative and quantitative evaluation indexes and the targets (in terms of number of conferences, publications and so on). The GARCIA project is one of the research targets of the DSP; this means that the Department actively supports the project.* *The expected results are:* • the consolidation of multidisciplinary research initiatives on gender. • The increase of the number of research projects submitted in national and international calls and the enhancement of existing initiatives (about the ongoing	

project, the document explicitly refers to the GARCIA project).
- A stronger network of multidisciplinary collaborations both within the University and at national and international level.
- More widespread attention to gender dimensions in the research projects on going in the university and greater capacity of researchers and scientists of the university to integrate a gender perspective in the disciplines in which they work.
- Consolidation of the University of Trento as a reference point on gender studies at national and international.

The expected results of the research activities are:
- Develop innovative teaching methods which introduce a gender perspective at Bachelor and Master Courses.
- Propose and develop methodologies to support the focus on equal opportunities in the orientation path in university courses choices and in the labour market.
- Integrate the doctoral program with a higher attention on gender issues in the curricula in the selection process of PhD students.

Relation between Central Governing Bodies and Departments

The Directors of the two Departments do not indicate particular problems in terms of communication with the central governing bodies of the University. The Board of the Directors of Department is the institution in the position to discuss with the Rector (hence, indirectly with AS), but has no decision power. This body works quite well in terms of exchange of information and collective discussion, though sometime there is little time to study the documents and make proposals.

Both Directors admit that they also use informal channels to discuss important issues with the Rector, the General Director and/or members of the AS. They did not point out specific problems related to the allocation of funding from the central governing bodies to the departments. The Director of DISI declares:

> *"probably it is not the best system you can imagine, but it works. It is difficult to find a single institutional solution for disciplines so different. At the end, it is a compromise, sometimes your qualities are acknowledged, sometimes not."*

He also signals a problem with the management of funding relating to the timing of allocation and the deadline of the expenditure:

> *"the funds are allocated during the year and you have to spend it before the end of the year, so, sometimes you make expenditures that are not strictly necessary because if you do not use all the amount you have to give it back. I think that the possibility to accumulate the savings allows planning better the investment, I don't know … hiring people or organize more conferences, etc."*

The two directors have different views on the allocation of POE (the most important resource to recruit and promote academic staff). When a professor retires or moves to another university, the department gets some resources (in terms of number of POE), depending on his/her position to be used either to recruit new people or to promote one of its members. The AS and the Rector can decide to assign to departments additional number of POE in case of specific needs. The calculation and distribution of POE are planned yearly.

The two departments have different demographic characteristics: the DSRS is the oldest of the University of Trento, also in the average age of academic staff (around 51.6), the DISI is one of youngest departments, with a lower average age (45 years).

At the DSRS, the recent retirements made possible to develop the associate professor plan; indeed, all the assistant professors that got the national scientific qualification have been promoted. The Director says: *"It was not an equality choice, they all had the requirements and we had enough resources."*

The two departments also differ in their *in and out* transfers: the DISI has a high ratio of international academic staff; while the DSRS has only sporadic transfers.

The Directors of DISI explains that using the same policy relating the retirements and transfers damages his department:

> *"I asked to the Rector and the Academic Senate to re-examine the mechanism of allocation of POE and to consider in a different way retirements and transfers. Our department is young, we do not have retirements in the next future. And we have many highly skilled associate and assistant professors. I know that if they do not have the possibility of promotion, they will move out and we will lose important resources […] We invested in these people and now we lose the return investment …"*

PhD Students

The Doctoral School of the DISI has a very high level of internationalization, indeed 60% of PhD students come from abroad. This is very important for understanding the Director position and the DISI policy on recruitment.

At DISI, the main concern is to offer PhD students a high quality of PhD program. The DISI Director argues:

> "*I think that the students come here because our department is one of the best. They want to strengthen their curriculum vitae and then go somewhere else. Trento is a good springboard [...], thus remaining after the PhD, staying as a postdoc researcher and then as an assistant professor, is not highly considered [...]".*

The data on the placement of PhD graduates show that 52% of students find a job in Italian companies or research centres, 38% find a job in European/international companies or research centres, while 10% of foreign students go back to their country (and get an academic position).

Also the Director of DSRS highlights the importance of the quality of the PhD program. However, it is not possible for all PhD graduates to pursue the academic career. He remarks that PhD students at DSRS do not have work duties, for instance, they do not teach. But he adds: "*I believe that they (PhD students) should do some teaching because this is a requirement in the international labour market*."

Postdoctoral researchers

About the postdoc researchers and the precariousness of their position, the DSRS Director thinks that the problems depend on the length of this unsecure condition (hence, the not young age) and the very large number of precarious researchers that the Italian university system has not been able to employ. Moreover, the changes in the university organization and the lack of resources make postdoc researchers to dependent from external funding (e.g. project funding). They work in the DSRS, but they are almost invisible.

The DISI Director thinks that the choice, made at national level, to increase the number of the lower positions and to decrease the number of the higher level positions will lead to the collapse of the system. For both PhD students and postdoc researchers mobility is in his view the best solution:

"to get experience it is important to see different contexts, if a person works only at one university, even a good one, s/he knows nothing about the world."

1.5 Main Conclusion

University's vision and mission fall in line with the Italian/European dominant rhetoric of the needed changes and new challenges of universities. The key words used in the University Strategic Plan are: interdisciplinarity, internationalisation, innovation and knowledge transfer. These imply: the importance of the University participation in the economic development at global and local level; the production of innovation and new knowledge for the enterprises and the necessity of overcoming the borders among the disciplines in order to tackle the challenges of a complex society.

Moreover, the University Strategic Plan lists a large number of actions and indexes, but this is not a well-integrated document in comparison with the Strategic Plans of the Departments (e.g. the DISI and the DSRS Strategic Plans) that contain more concrete proposals and the definition of specific targets to achieve.

Data relating to gender distribution in higher and management positions at the University of Trento show a strong gender imbalance. Even if the Rector[62] and the General Director werewomen, the problem of vertical segregation is still present in the majority of the governing bodies of the institution. Not only, as the Glass Ceiling Index (2.2) highlights, few women occupy high positions in the academic career ladder, but also, in the selected departments, women are excluded from the managing bodies of research and teaching activities – phenomenon that is even more visibleat the DISI because of the low presence of women in every permanent academic position. Although gender and equality issues seem to be taken in charge by the institution, policies and concrete consequences are not visible. In other words, the formal recognition of this situation does not affect the women conditions in terms of recruitment, promotion and representation. Moreover, the effectiveness of the incentive policy to encourage academic structures (Departments and Centres) to contribute to the gender balance in terms of full and associate professors has not been evaluated yet.

University of Trento financial data are available on the annual financial statement published on the website and main data about students and academic staff are available in the intranet Athenaeum or easily trackable thanks to the statistical office. The administrative offices were helpful in order to collect information about the criteria used for the allocation of the resources at university and department level. Therefore, the transparency level of the university seems to be good, except, as we already mentioned, for a lack of transparency in the internal competitive calls: the definition of the criteria, their application, the referees nomination and the results published are not totally intelligible.

The postdocs and temporary assistant professors work conditions are not taken in charge by the institutional representatives we interviewed. Indeed, this is a problem of the whole Italian academic system, difficult to be tackled at a local level. Postdoc researchers are not considered as employees of the institutions and in most cases they do not have access to university benefits and services as who has permanent positions. The Directors of selected Departments underline the impossibility to plan the recruitment and the promotion of

[62] As already mentioned, the data and the analysis refer to the period in which the Rector was a woman. The new Rector, a man, started his mandate on April 2015.

temporary researchers because of the resources lack. They state that this situation affects – and will affect - the university system as a whole, and the younger researchers in terms of career possibility, work (e.g. national and international mobility importance) and life conditions (e.g. family, health, etc.).

Appendix A – Management structure and practices: Governance

Table 1 - Management structure and practices: Governance, February 2015

Governing Bodies of the University of Trento	Functions and duties	Members	
		M	F
The Rector guarantees that there is a common strategic policy among the governing bodies of the University and promotes and coordinates scientific and teaching activities. The Rector is the legal representative of the University. *The Rector presides over or participates at the Academic Senate, the Board of Directors, the Board of the Heads of Departments. We did not include the present Rector (a woman, in February 2015) in the counting of female member of these bodies.*	The Statute - ART. 4		X
Board of Directors is the body that governs and is responsible for the general organisation of the University. It oversees the economic and financial management of the University as well as that of its assets.	The Statute - ART. 7 - 31	2 + 1 student	5
The President of the Board of Directors is the grantor of the special autonomy of the University of Trento	The Stature - ART. 10	X	
The Academic Senate is the body that governs scientific production and teaching at the University. It cooperates with the Rector in the targeting, planning and coordination of teaching and research activities at the University. Moreover, taking into consideration the proposals of the individual areas of the University, it collaborates with the Rector in determining the scientific and teaching plans and their fulfilment, the allocation of resources and the recruitment of professors and assistant professors.	The Statute - ART. 11 - 23 - 31	6	1 + 2 students
The Board of the Directors of the Departments is the body that acts as the link among the academic structures, and between the latter and the Academic Senate. Its members consist of the Directors of the different Departments and Centres. It is chaired by the Rector. *This Board has no decision-making power.*	The Statute - ART. 13	12 (elected)	1 (nominated)
The Student Council is the body that represents the students attending the different courses at the University.	The Statute - ART.14	17	3
The Evaluation Group continuously and systematically checks the performance of the University in its organization, in the research and teaching activities, and determines the overall quality of the procedures, thereby contributing to the improvement of the internal system of self-evaluation and to the promotion of merit. The Group, in complete autonomy, draws up an annual report on the attainment of the strategic plan and on the achievement of the rigorous objectives, and submits this report to the Council of Administration by May of each year.	The Statute - ART.15	4	1
The Board of Auditors checks the accounting-administration of the University and monitors that the principles of correct administration and of the regulations in force are respected.	The Statute - ART. 16	1	4
The General Director, in the frame of the areas approved by the Council of Administration, is responsible for the overall running and organisation of the offices and services, the technical-administrative staff of the University and the technical resources.	The Statute - ART. 17		X

Other Bodies supporting the governance of the University	Functions and duties	Members	
		M	F
The joint committee for the right to study and the promotion of merit expresses obligatory opinion to the Academic Senate as regards the system of student contribution, the policies of promotion of merit, and the measures for the right to study; it makes proposals to the Academic Senate about international mobility and services to the students; it monitors initiatives taken in these areas.	The Stature - ART. 38	4 + 2 students	1 + students
The ethics committee on experimentation on living beings was set up in September 2005, and its chief role is to evaluate, and express opinions on, experiment proposals using living beings, presented by scholars and research groups that work at the University.	founded in September 2005	6	3
The committee for the enhancement of quality at the University promotes the improvement of all the courses and training programmes.	d. lgs. 27/01/12 n. 19	5	2
The sports council oversees all sports initiatives and activities that are organised by the University and the Trento University Sports Centre.		2 + 2 students	1 (CEO)
The committee for recruitment and career advancement aims at enhancing the quality of recruitment and the advancement of the careers of professors and assistant professors.	Art. 6 del D.Lgs. 142/2011	4	1
The patent commission is appointed to take decisions regarding the management of the patent portfolio of the University and to define the policies concerning the protection of the industrial property.		4	1
The administrative and technical staff council advises on the steps to be taken concerning the policies of organization, management and training of the technical and administrative staff and of language teachers of the University.	The Statute - ART. 29, c. 2	8	8
The Committee of the Senate for the implementation of the Ethic Code is an advisory body. Upon request of the Academic Senate, it submits opinions and recommendations on their areas of competence.		2	1
The University Library Council decides on the general guidelines, the budget allocation and the aims of the University library**.**		7 + 1 student	2 + 1 (CEO)
The Committee of PhD students and Postdocs is a collective body with an advisory capacity in the field of organizational, managerial and educational policies of PhD students and Postdocs.		8 Phds 9Postdocs	4 Phds 1 Postdocs
The Body for the Protection of Animals (OPBA) deals with topics regarding animals used for scientific and educational purposes, in all facilities of the University which carry out scientific activity using animals, as per Legislative Decree no. 26/2014.		7	1
Bodies relating to Equal Opportunities Policies	**Functions and duties**	**Members**	
		M	F
The Supervisory Committee aims at promoting and protecting equal opportunities and wellbeing and the quality of working time and of the organization, for all the staff of the University, including the non-permanent staff.	The Statute - ART 29, c. 3 + Law 183/2010, ART. 36	4	7
Delegate for Equal Opportunities, representing the Rector, pays attention to the implementation and discussion of policies towards the pursuit of objectives and programs concerning equal opportunities, proposed by the governing bodies.	Rector's Act		X
The Confidential Counsellor is in charge of the university counselling service, aimed at preventing, managing and solving the issues of mobbing and sexual harassment occurring in the work or study environments brought to her attention.	Code of Conduct against sexual harassment**		X

*Data are updated at February 2015 (before the election of the new Rector).

** The Confidential Counsellor is a figure foreseen at the EU level (see: Recommendation 92/131, on the Protection of the dignity of women and men at work, and Resolution A3-0043/94 on the Appointment of a Confidential Counsellor or a Company Counsellor). On 1 July 2008 the University of Trento enacted the Code of Conduct against sexual harassment and the Regulation for the prevention and protection of employees against mobbing, with the creation of the figure of the Confidential Counsellor. In order to safeguard the neutrality, privacy and independence on the analyzed cases, the Confidential Counsellor has to be appointed outside the University.

Table 2 - Governing Bodies of UNITN and Departments– Italian version

English	Italian
Rector	Rettore
Delegates of the Rectors	Delegati del Rettore
Board of Directors	Consiglio di Amministrazione
President of the Board of Directors	Presidente del Consiglio di Amministrazione
Academic Senate	Senato Accademico
Board of the Directors of the Departments	Consulta dei Direttori
Student Council	Consiglio degli Studenti
Evaluation Group	Nucleo di Valutazione
Board of Auditors	Collegio dei Revisori dei conti
General Director	Direttore Generale
Joint committee for the right to study and the promotion of merit	Comitato paritetico per il diritto allo studio e la valorizzazione del merito e
Ethics committee on experimentation on living beings	Comitato etico per la sperimentazione con l'essere umano
Committee for the enhancement of quality at the University	Presidio per la Qualità di Ateneo
Sports council	Commissione Sport
The committee for recruitment and career advancement	Comitato per il reclutamento e lo sviluppo delle carriere
Patent commission	Commissione brevetti
Administrative and technical staff council	Consulta del personale amministrativo e tecnico
Committee of the Senate for the implementation of the Ethic Code	Commissione del Senato per l'attuazione del Codice etico
Library council	Consiglio di biblioteca
Committee of PhD students and grant holders	Consulta dei dottorandi e degli assegnisti
Body for the Protection of Animals (OPBA)	Organismo preposto al Benessere degli Animali
Supervisory Committee	Comitato Unico di Garanzia,
Delegate for Equal Opportunities	Delegata per le Pari Opportunità
Confidential Counsellor	Consigliera di Fiducia
Director of Department	Direttore di Dipartimento
Vice-Director of Department	Vice Direttore di Dipartimento
Department Board	Consiglio di Dipartimento
Delegate of Director of Department	Delegati del Direttore di Dipartimento
Executive Board	Giunta di Dipartimento
President of Degree Course Committee	Presidente di Corsi di Laurea
Vice- President of Degree Course Committee	Vice Presidente dei Corsi di Laurea
Responsible of research units	Responsabile di Unità di Ricerca
Coordinator/Director of Doctoral School	Coordinatore della Scuola di Dottorato
Vice-Coordinator of Doctoral School	Vice Coordinatore della Scuola di Dottorato

Appendix B – Strategic Plan 2014-2016: Key Performance Indicators

Table 3 – Research Activities

Dimensions	Key Performance Indicators of Research Activities			
Publications	Number of monographs and articles in scientific journals with international circulation, in particular those with high impact factor	Number of cumulative citations of the University researchers recorded by international databases	Scientific productivity of young researchers	Scientific reputation of the researchers and of the University itself, measured by bibliometric indicators and international rankings
Collaboration and partnership	The return on the research investments: scientific productivity and impact of scientific result compared to the investment	Number of cooperation agreements with other research institutions and research organisations operating at the regional, national, Euro-regional, European and international level	Number and extent of European funded projects in different scientific areas	Number of contracts with external research bodies and with public or private organisations
Projects and Funds	Number of projects presented for competitive calls at national, European and international level	Number and amount of research funding by external sources and, in particular, by the EU		
Dissemination	Number of mentions/citations of the University of Trento on the national and international media, including websites	Number of activities for dissemination of results (in projects of all scientific areas)	Number of researchers and professors' invitations at scientific conferences or at prestigious universities	Number of conferences, seminars and workshops organized (in particular set up in order to discuss the interim and final results of projects)
PhD	Number of PhD scholarships financed by the University and number of scholarships funded (or	Number of PhD thesis associated with topics of the five thematic areas highlighted in the SP		

Table 4 – Teaching Activities

Dimensions	Key Performance Indicators of Teaching Activities			
Internationalization	Number of new degree courses (three years) totally accessible in English and with selective access based on the timing of the international demand for training	Number of new joint degree programs with other European institutions that provide for at least one year of the degree in Trento	Number of non-Italian and non-European students in degree programs	Number of students from countries, EU 15
	Number of students who have acquired a proficiency certified, especially in the English language	Number of students involved in mobility projects, dual-degree and internships	Amount of external funding for international mobility of students and researchers	Number of students undertaking a period of study abroad
The teaching quality	Number of hours of education provided	Reduction in dropout rates between the first and second year	Increase of rate of regular studies and increase of the percentage of graduates who achieve the degree on right/regular time	Number of departments / areas that have established a path of merit for students
	The existence of a system of mentoring targeted to critical cases for students after the first year	Number of lifelong learning courses activated, the number of credits and the number of participants		
Tutoring and relationship between university and labour market	Presence of a tutoring system for students at the first year	Number of internships in companies and of field experience periods	Number of departments with a committee of representatives of the system of employers in its reference field	Number of students, which develop activities in the industrial sector or research as part of their final test of the degree program
	Number of curricular workshops in degree courses in all disciplines, particularly in those which are not traditionally open to this type of activities	Increase the indicators of employability	Number of courses where professors adopt active teaching methods (case studies, discussion sessions, etc.)	Number and success of initiatives organized in order to support the social entrepreneurship, even at international level
Interdisciplinary and online courses	Number of educational activities such independent studies in the curricula	A number of seminars and other opportunities for discussion open to students	Number of interdepartmental coordinating bodies for teaching	Number of courses offered entirely with the MOOC "remote" type
	Number of blended courses	Level of satisfaction of students attending online courses Number of external students accessing the available online courses	Percentage of training activities that do not refer to strictly disciplinary skills	

Table 5 – Social Responsibility

Dimensions	Key Performance Indicators of Social Responsibility (in and out of University) and embedded in local territory			
Interaction and partnership with Local Territory	Number and value of contracts of cooperation with companies and public and private organizations in the local territory	Number and value of innovative research projects in collaboration with companies	Number of start-up aimed at entrepreneurial exploitation of research results	Number of initiatives and dissemination events addressed to citizenship Constitution of the alumni network
	Number of educational programs, integrated and coordinated with the institutions within the Euregio and number of involved students	Number of research projects elaborated and submitted together with at least one of the research institutions of the Province of Bolzano or the Land Tirol	Number of joint academic positions with the Province of Bolzano or the Land Tirol	Number of cooperation agreements implemented (operational) with universities of the northeast of Italy
	Number, quality, consistency of joint projects undertaken with the other subjects of the research system in the Trentino Region		Number, quality, consistency of operational collaboration agreements with business organizations, institutions and companies operating in the Trentino Region	
Efficacy of infrastructures and services and satisfaction of the university community	Level of students' satisfaction on the infrastructures provided for learning (eg. reading room, library resources, access to information)	Level of professors and researchers' satisfaction on the infrastructure made available for teaching and research and the possibility of sharing them (eg. space and scientific equipment, library resources, access to information)	Number of positive evaluations on sample survey of the perceived quality of services	Level of appropriateness of services with the needs stated by those who work for and with it
	Number of services accessible online	Number of students enrolled at UNI.Sport	Number of students who practice sports thanks to Unisport or other supporting structures of the University	Number of graduates and PhDs who find their first job thanks to the service of job guidance or other support structures that are part of the University
Gender and Equal Opportunities	Activation of training on issues related to Equal Opportunities and enhancement of differences in the degree programs	Gender composition of: students, researchers with a temporary position, professors in different disciplines and in different positions, and the administrative staff in the various categories	Number of implemented activities of the Positive Action Plan for Equal Opportunities	Level of well-being and satisfaction of the university personnel
	Gender ratio (in different positions and disciplines)	Disability Services Charter	Ratio between the professors and researchers number	Number of applications submitted to announcements compared to the number of available positions (recruitment)

Appendix C – University of Trento in National Rankings

ANVUR (the Italian national agency for the evaluation of the university system and research) evaluated the scientific production of 133 institutions spread throughout the country, including 95 universities and 38 research institutes.

The University of Trento obtained a higher score than the national average in 11 out of 16 research areas considered. The University of Trento submitted more than 1,500 “research products” (patents, publications, software) for the evaluation. 72% of these were ranked in the best classes of merit: excellent and good.

More specifically, the areas ranked first in their size group are: Medical Sciences (area 6); Civil Engineering (area 8a); Sciences relating to the Ancient World, Philology and Literature, History and Arts (area 10); Historical, Philosophical and Pedagogical Sciences (area 11a);

Psychological Sciences (area 11b); Juridical Sciences (area 12). In the first quartile, areas placed are: Physical Sciences (area 2); Chemical Sciences (area 3); Biological Sciences (area 5); Information and Industrial Engineering (area 9); Political and Social Sciences (area 14).

Seven departments and research centres ranked first, second or third in the relevant classifications.

- **First position**
  Department of Civil, Environmental and Mechanical Engineering
  CIMeC Centre for Mind/Brain Sciences
- **Second position**
  Department of Information Engineering and Computer Science
  Department of Humanities
  Department of Psychology and Cognitive Science
  Faculty of Law
  Department of Information Engineering and Computer Science
  Department of Humanities
- **Third position**
  CIBIO – Centre for Integrative Biology

In the classification drawn up annually by the Censis (the Italian institute that carries out the research on social conditions in Italy), the University of Trento is always ranked among the top universities. In the 2014/15 edition UNITN gains the 2nd position among the medium sized universities (10 to 20 thousand students), with 97.8. In is group Trento obtained the best score in its category for internationalization (106 su 110).

The rankings published by the Italian financial news paper "Il Sole 24 Ore" placed UNITN in the 1st position among the best Italian public universities. The used indicators concern both teaching and research activities. Trento's strengths are: Attractiveness (ratio of students coming from outside Trentino); efficiency (ratio of non-active students); external funding (capacity to obtain financial resources for research projects); international mobility (ratio of ECTS obtained by students while being abroad); research (evaluation of the research products by the ANVUR).

Appendix D – Delegates of the Directors of Departments

Department of Information Engineering and Computer Science (DISI)

The Delegates of the Department are appointed by the Director or by the Board in order to optimize the various activities of the Department.

Table 6 – Delegates of Director (DISI)

Mandate	Professors' Name	Sex
Education	Alberto Montresor	M
Internationalization	Maurizio Marchese	M
Study Plans	Mauro Brunato	M
Guidance	Roberto Sebastiani Rocca Paolo Giulia Boato	M M M
Internship and Stage	Luca Abeni	M
External Internship recognition	Mauro Brunato	M
Erasmus Program	Luca Abeni Antonella De Angeli Claudio Sacchi	M F M
Seminars management	Yannis Velegrakis	M
Relations with the library	Paola Quaglia	F
Disability	Marco Ronchetti Alberto Montresor	M M
TOPSPORT	Paolo Giorgini	M
ICT Services	Renato Lo Cigno	M
BIT School	Renato Lo Cigno	M
Entry Requirements	Nicola Conci Mauro Brunato	M M

Department of Sociology and Social Research

The Delegates of the Department are appointed by the Director or by the Board in order to optimize the various activities of the Department

Table 7 – Delegates of Director (DSRS)

Mandate	Professors' Name	Sex
Excellence Committee	Giolo Fele	M
General Affairs	Francesca Sartori Luca Fazzi	F M
Technical Support, Labor and IDOS	Ivano Bison	M
Facebook Communication	Andrea Brighenti	M
Disability	Jack Birner	M
Training Programme	Serena Luzzi	F
Language Center and language training	Domenico Tosini	M
Orientation Activity	Attila Enrico Bruni	M
Relations schools-department	Francesca Sartori	F
Delegato per il Plagio	Domenico Tosini	M
Department Web site	Alessia Donà	F
International Programme	Davide Galesi	M
Project in the German speaking Area	Stefani Scherer	F
Relations with high school teachers	Emanuela Bozzini	F
Placement	Carlo Barone	M
Intership and Traineeship	Barbara Poggio	F
Foreign Students	Davide Strazzari	M
Tutorship	Paolo Rosa	M
ICT Services	Roberto Poli	M
"Università a colori" Italian migrants of second generation	Francesca Decimo	F
Committee for the enhancement of quality	Marco Brunazzo	M
Doctoral School of Social Science	Paolo Barbieri	M

Appendix E – Research Units of the Departments

Research at DISI is organised into eleven areas :

1. Data and Knowledge Management. The research is in the following fields: data management and analysis, view maintenance, caching and prefetching, data mining, personalization technologies, sensor data management, streaming data summarisation and processing, business process monitoring and analysis, metadata management, schema mapping, data translation and integration, knowledge representation and management, semantic web, contexts and ontologies, user-centric data and knowledge search, XML and P2P data and knowledge management, and game theory in P2P systems.

2. Embedded Electronics and Computing Systems. In this area, the focus is mainly on the technological issues related to intelligent systems and their ability to be distributed in an environment in order to solve complex problems. This central topic stems from the description of intelligent systems as products that use communication channels, electronics, microprocessors and software technologies to accomplish predefined tasks, e.g., to control objectives given to an autonomous mechatronic system. Embedded systems are fundamental for intelligent products and can be considered as computing systems dedicated to special purposes.

3. Language, Speech and Interaction. The research area is related to speech and language processing, vision, machine learning and interaction. Studies concentrate on how humans process speech, language and vision and the study of mathematical models for automatic processing, suitable for communicating machines. The research is also oriented towards examining models of interactions in all of the ICT settings, such as, in speech-to-speech, speech-to-web and multimodal interactions. Collaborative systems and web architecture are also studied.

4. Machine Learning and Intelligent Optimization (LION). The research is into the development of intelligent optimisation and reactive-search techniques for solving pertinent problems arising in different application areas, including intelligent transportation systems, computer networks and mobility, mobile services and ubiquitous computing, social networks, and clustering and pattern recognition in bio-informatics. These challenges require an integration of different theoretical and practical tools in a creative environment that eliminates the borders between disciplines.

5. Multimedia Signal Processing and Understanding. This area is concerned with the whole multimedia content lifecycle, from representation and coding, to processing, storage and retrieval, protection, analysis, and understanding. The main focus is on visual data and, in particular, on the still picture and video. In this field, different fundamental aspects are considered, including: smart representation and transmission of information (adaptive coding, scalability, multiple description coding), middle and high-level analysis (video object tracking, trajectory analysis and matching, activity and behavior analysis), interactive systems and man-machine interfaces (gesture recognition, eye tracking).

6. Remote and Distributed Sensing. Airborne and satellite remote sensing represents the most important and promising technology for Earth observation and environmental monitoring, developed in the last few decades. A key component is related to image processing, pattern recognition, and data fusion methodologies, which are the main tools for an efficient extraction of the information necessary to end-users from the remote sensing data. These techniques are complemented by distributed sensing on the ground, e.g., via wireless sensor networks, which also provides the core technology for several application domains, e.g., including energy efficiency and smart city infrastructures at large.

7. Signal Processing and Recognition. The research activities focus on the design of smart computerized signal/image processing and recognition systems. Research keywords are: computer vision, data mining, image/signal processing, information retrieval, machine learning, neural systems, optimization, and pattern recognition.

8. Social Informatics. Social Informatics is an emerging part of informatics that studies how information systems can achieve social goals, apply social concepts, and become sources of information relevant for social sciences and for the analysis of social phenomena. It is concerned with the intersection of social behavior and computational systems, and deals with the interdisciplinary study of the design, uses and consequences of information technologies that take into account their interaction with institutional and cultural contexts.

9. Software Engineering, Formal Methods and Security. Research is related to the design and deployment of trustworthy and effective socio-technical systems. The main topics are: goal-oriented requirements engineering, agent-oriented software engineering, security engineering, security-by-contract, and formal methods. Results from the research have been applied to software development, software/protocols/hardware verification, service-oriented architecture design and development, organisational and business process modelling and analysis, and mobile software systems development.

10. Systems and Networks. The research in this field is concerned with the design and implementation of modern distributed systems and networks, increasingly characterised by strict requirements in terms of high performance, quality of service, and large scale, dynamicity, and security. The aim of the research is to tackle the challenges of distributed systems at all levels, spanning from the definition of systems, to distributed algorithms, to middleware and language constructs, and to the implementation of application-level protocols and system services.

11. *Wireless Networking.* The aim is to foster high-quality theoretical, methodological and experimental research in wireless network systems, architectures, protocols and devices and to teach advanced issues relating to wireless networking, antennas, and modern communication techniques over wireless channels.

Research at DSRS is organised into nine research units

*1. Età della Vita – eVita. The research unit '*eVita' works on the different stages of life, paying particular attention to the changing structures and roles of youth, adults and seniors. Furthermore, eVita is specifically focused on the interactions among youth, adults and seniors together with the long-term outcomes arising from these interactions.

2. Local Development and Global Governance – LoG. The research unit LoG focuses on the relationship between global and local governance, and investigates in which ways, both formal and informal, institutions interact in order to promote the development of local areas.

3. Center for Social Inequality Studies. The CSIS research unit has as its main objective the promotion and coordination of initiatives of theoretically driven empirical research, focusing on social inequalities, their relation to institutions and their change over time and across generations.

4. *Communication, Organizational Learning and Aesthetics* – RUCOLA. The Research Unit on Communication, Organizational Learning and Aesthetics is a group of scholars promoting research in specific aspects of Organization studies. Common areas of interest include: exploring the practices of organizing, a focus on knowing and learning as a collective, social, affective and not entirely cognitive activity, and a particular emphasis on the relationships between linguistic, symbolic, material and emotional aspects of organizational processes.

5. STSTN – Science and Technology in Society. Science Technology and Society - STSTN - is an interdisciplinary university project aimed at raising awareness among researchers (especially younger ones) of issues concerning the relationship between science and society, as well as offering a platform for discussion of these themes both within the university and in the local community.

6. VADem – Values, Belonging and Democracy. The Research Unit on "Values, belonging and democracy" (VADem) is a group of scholars and researchers collaborating to explore the connections between socio-cultural change, particularly in the area of values, political culture and the transformation of democratic institutions.

7. *Center of Interdisciplinary Gender Studies* – CSG. This study center adopts gender differences as a key to interpretation and as an instrument in research and interdisciplinary practices involving different fields: economics, law, politics, science, sociology and liberal arts. The main aim is to spread gender culture by means of many different events: cultural exchanges, scientific debates, as well as national and international collaborations.

8. *Research Center on Democracy and Global Governance* – DEMOGLOB. DEMOGLOB is an interdisciplinary research unit whose main goals are: to sponsor and coordinate research projects on the transformation of democracy within the national, European, and international contexts; to contribute to the development of

theories concerning the processes of Europeanisation, internationalisation, and globalisation; and to study the permutation of the conflicts connected with the processes of internationalisation and globalisation.

9. *Migration Scenarios and Social Changes* – SMMS. SMMS is a group of students, academics and practitioners interested in the study of migration as a factor of social change, both in sending and receiving contexts. SMMS advocates the development of meticulous programs of empirical research on international migration, favoring the exchange and sharing of the research results across national and disciplinary boundaries.

Appendix F – Academic staff at DISI and DSRS

Table 8 – Number of academic professors and researchers by department and year

	2010*				2011				2012				2013			
	DSRS		DISI		DSRS		DISI		DSRS		DISI		DSRS		DISI	
Number of:	**M**	**F**	**M**	**F**	**M**	**F**	**M**	**F**	**M**	**F**	**M**	**F**	**M**	**F**	**M**	**F**
N full Professors	15	1	-	-	14	2	-	-	15	2	11	0	14	2	10	0
N associate professors	15	14	-	-	13	2	-	-	9	3	17	2	9	3	18	2
N professors: full, associate	**30**	**15**	**-**	**-**	**27**	**4**	**-**	**-**	**24**	**5**	**28**	**2**	**23**	**5**	**28**	**2**
N of assistant professors (Full-time)	11	9	-	-	10	10	-	-	10	10	8	2	9	9	8	2
N of fixed-term assistants professors (full-time)	3	1	4	0	3	1	4	0	3	1	4	0	5	3	4	1
N of Post–doc positions	1	1	2	1	1	2	22	7	3	4	24	14	6	9	39	11
N of Temporary teachers*	--	--	--	--	--	--	--	--	--	--	--	--	21	12	15	0
N researchers in non-permanent position	**15**	**11**	**6**	**1**	**14**	**13**	**26**	**7**	**16**	**15**	**36**	**16**	**41**	**33**	**66**	**14**
N of job openings assistant professors	2		2		0		0		4		0		0		0	
N of job openings post-doc	2		--		4		40		6		22		5		31	

***** *Temporary Lecturer* (*professore a contratto*): a fixed-term contract for teaching activities, but no social security (sickness or maternity leave or work facility).

Table 9 – Doctoral School characteristics: scholarship and duration*

	2009/2010		2010/2011		2011/2012		2012/2013	
	DISI	DSRS	DISI	DSRS	DISI	DSRS	DISI	DSRS
Percentage of students, scholarship holders, enrolled in the first year	71,0%	54,5%	68,3%	100%	76,1%	100%	78,3%	100%
Percentage of Scholarships financed by external bodies	79,5%	0,0%	65,1%	0,0%	82,4%	11,1%	74,5%	0,0 %
Percentage of scholarships financed by the departments	34,1%	0,0%	32,6%	0,0%	31,4%	0,0%	24,5%	0,0 %
Ratio of enrolled students in the first year and professors of the Doctoral committee	1,05	0,35	1,1	0,1	1,1	0,5	0,9	0,3
Average duration of doctoral studies (years)	3,39	3,36	3,3	3,4	4	3,9	4,11	4,11
Doctors with at least one year later than the normal duration	35,5%	28,6%	24,4%	25%	42,9%	30,0%	0,0 %	50,0%

** Source: Annual Report of Evaluation Group, 2010, 2011, 2012, 2013*
Data disaggregatd by gender are not available.

Table 10 – Student/teacher ration by year and department

	2009/2010		2010/2011		2011/2012		2012/2013	
	DISI	DSRS	DISI	DSRS	DISI	DSRS	DISI	DSRS
Student/teacher ratio	N.A.	N.A	N.A	N.A	N.A	N.A	20,8	21,5

2. UNIVERSITÉ CATHOLIQUE DE LOUVAIN, BELGIUM

Authors: Farah Dubois-Shaik, Bernard Fusulier, Caroline Vinke

2.1 Data collection

For UCL, the data collection about central or main management, governance and decision-making was mainly desk-based, relying on website descriptions, as well as statutes or management rules documents. On the level of institutes, there are statutes, as well as general codes available on the website, which describe the different functions, organs and decision-making.

However, there are no statistics existing per se about the distribution of men and women in decision-making organs; we had to do a count of persons within list of members that are available. On the level of the two Garcia institutes, IACCHOS (SSH) and ELI (STEM) the decision-making is much more difficult to circumscribe, as they are interdisciplinary institutes relying on parallel governance from sectors, faculties and schools, which have different governing emphasis, teaching, research or distribution of resources (financial and other). Moreover, in ELI, there are five poles of research consisting of various different faculty members and research and teaching units involved. We hope that the different levels of governance outlined in the first part of the report on management framework will give a clearer picture on how things are operated on the level of both institutes.

For the statistics on the distribution of men and women in the different academic posts and grades we relied partly on the already assembled data from the WP4 tables. However, although numbers of personnel of different types and grades were readily available through the internal statistical data bank made accessible to us by special authorization for the whole UCL personnel, it proved difficult to have more detailed grouping of personnel within the two Garcia institutes, as they are both recently created and regrouped since 2010/2011, and that differentiation between full professors and associate professors, or postdocs and other temporary researchers were not available within institutes.

One key source of data was also the Annual Gender Report compiled for UCL for the academic year 2013/2014 by a specially appointed Gender administrator Edithe Antoine, of RHUM (Human Resource Management Service); her contribution to general statistics on distribution levels and percentages has proved to be invaluable for us for this report and in general for this project. For the more ideological or vision-based section of the report, we analyzed website descriptions, media content, some interview material conducted for WP7 7.1, and leaflets of self-presentation of institutes. For the policy level analysis we selected three policies, which seemed the most current developments or endeavors in University management and organizational orientations, closely associated with some more recent regulation and structural reform.

The financial framework and management data was composed of interview material that we were able to retrieve with an interview held with the general administrator, who has just been renewed in his office for a further four years, and whose influence in the current financial management of UCL is distinctive and considerable. His descriptions of how things work was therefore an invaluable source of information on the one hand, and on the other hand an important discursive resource on the kinds of emphases that are put on financial management at present at UCL.

The list of data references for this report is as follows:

UCL website information publically available (in French) on organs and decision-making bodies and structures, also some policies: www.uclouvain.be
Balises de gestion des Instituts – 2010 – Management Rules of Institutes
Normes de gestion revisions en bref – Norms of management revisions in brief
Communiqué de Presse convention de constitution de l' « Académie Universitaire 'Louvain' », March 2007 – Press communication on the creation of Acdémie Univ. Louvain
Earth Life Institute ROI – Regulation of interior order of ELI
IACCHOS ROI – Regulation of interior order of IACCHOS
Règlement d'ordre intérerieur ROI Conseil Académique UCL – Regulation of interior order of the Academic Council
Normes Gestion Ressources Intérieures UCL – Norms of Management of internal ressources
DEP CORSI DEF Flyer – Scientific Corps Flyer
Statistics: Banque de Données des Conseils des Recteurs – Data bank of Rectors council
Interviews: with General Administrator, Vice-Rector of Politics of Personnel, Presidents of Institute, Focus group with different academic of both IACCHOS and ELI
Media interview extracts from "The Science", or University media online press
Media interview extract from "La Quinzaine" n°313 on Rankings

2.2 Université Catholique de Louvain, Belgium: Organizational structure, managerial and financial framework and potential gender biases

2.2.1 The historical development of the UCL

In 1425, a common desire to establish a university in Leuven assembled the Duke of Brabant, the collegiate chapter of St. Peter and the counselors of the City. On December 9, the circle *Sapientie immarcessibilis* marked under the authority of Pope Martin V, the birth of the University. The University responded to the needs of the modern world in the making. Until the late 18th century, it formed the most senior officials, lawyers, judges and doctors of the Netherlands (successively Burgundian, Spanish and Austrian). It also participated in the emancipation of the modern subject in the late 15th century. Vesalius, Mercator and others came to Louvain to animate scientific objectives. Humanism, illuminated by the example of Erasmus, who spent several years in Leuven, was nourished by the presence of researchers from all European origins, as did the Spaniard Vives. This was served by the Three Languages College founded in 1518 and produced what are perceived in University history as significant results throughout the 16th century, including the work of Justus Lipsius.

The incorporation of the Austrian Netherlands and the Principality of Liege in France led in 1797 to the closure of the university. It was reconstituted as a State University in 1816 (at the time of the Kingdom of the Netherlands) and re-founded as a Catholic University in 1834, after independence from Belgium. Closely associating teaching and research, the Catholic University of Louvain created five new faculties (in addition to five in 1834), institutes, special schools, laboratories and seminars and took charge of the clinics and hospitals. The University history boasts that every generation since 1880 in each discipline can count scientific personalities of international standing.

The global recognition was also marked by the growing share of foreign students; the foundation of the university in Congo Lovanium; and an increase of reflection and exchange homes with other continents. The gradual federalization of Belgium and the empowerment

of language communities led to the establishment in 1970 of two independent universities, the daughter of a single story. The Catholic University of Louvain is transferred to the Walloon Brabant and Brussels by creating Louvain-la-Neuve and UCL Brussels in Woluwe-Saint-Lambert.

Incorporated on June 29, 2004 under the decree organizing higher education and university, the Louvain Academy brings together the Catholic University Faculties of Mons, the University Faculties Notre-Dame de la Paix in Namur, the University Faculties Saint-Louis and the University Catholic de Louvain. On 8 March 2006, UCL and a set of Higher Colleges have joined together in a Higher Education Pole. The transition from education to the Bologna system began in 2004. In 2005, the university launched under the term “Development Plan” an extensive process of appropriation of the challenges of the globalized world. On 12 March 2007, the presidents of the four member universities of the Louvain Academy - the University Faculties Saint-Louis, the Catholic University Faculties of Mons, the University Faculties Our Lady of Peace and the Catholic University of Louvain - announced that the integration of the four universities would lead to the creation of a new university within three years, which however did finally not take place. These four universities were proposed to form a new Catholic University of Louvain, each site adopting a specific designation to be determined. The objective was to enhance international visibility while developing local and regional roots.

March 23, 2009: For the first time in the history of the university, the Rector of UCL was elected by universal vote, all categories of staff and students were asked to express their choice. In addition, the electronic voting system that allowed to carry out the election was considered quite unique on this scale: designed and implemented by the CRYPTO Group Microelectronics Laboratory (Louvain School of Engineering), it allows each voter to verify that the election result is correct.

On 28 and 29 April 2009, the KULeuven and UCL welcomed, on behalf of Benelux, the Conference of European Ministers of Education, which organizes the monitoring of the Bologna Declaration. This had some symbolic significance: firstly, because the reception is transnational and in the image of this reform that tends to abolish the borders; and secondly, because the sister universities, such as Bologna, are amongst the oldest of Europe. After Prague in 2001, Berlin in 2003, Bergen in 2005 and London in 2007, European education ministers therefore took stock of the Bologna reform in Leuven and Louvain-la-Neuve.

Since 1 July 2010, a new faculty (LOCI) brings together senior Institutes of Architecture Saint-Luc in Brussels and Tournai, architectural and planning units, hitherto attached to the Louvain School of Engineering. This integration, which stems from a decree of the French Community, allows full academic recognition of the teaching of architecture. The specifics of this new faculty of the UCL is that this is the only French Community to involve architectural studies, architectural engineering and town planning; it stands out for its expertise in sustainable architecture; and it comes in three sites (Saint-Gilles, Louvain-la-Neuve and Tournai).

After the failure of the merger of the Louvain Academy partners in December 2010, UCL and FUCaM (Mons) take the decision to merge as of 15 September 2011. The two institutions, members of the Académie Louvain, have signed April 6, 2011 legal documents binding the fusion process. This advance is a historic first in the French Community of Belgium. Indeed, two free institutions, legally independent, merge by their own decision to forge a common

future. Together, they have quickly agreed on an academic project before defining the governance of the merged university, which comes in support of this project. Both institutions want to improve the university offers in the region of Hainaut, while developing concrete initiatives in research and aspects related to regional and cross-border development. According to the merger aims, they want to better serve society, by subsidizing.

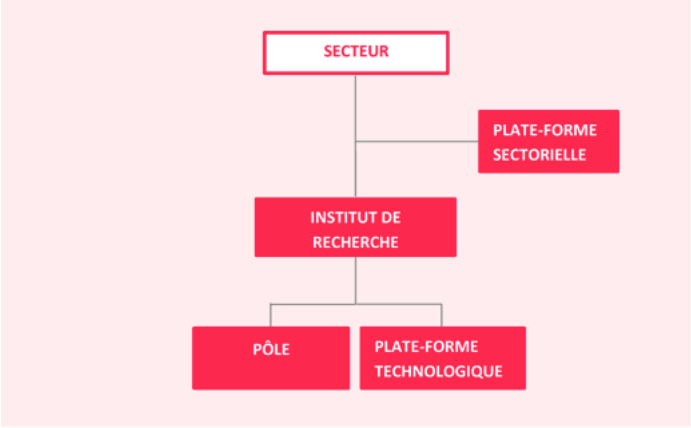
Current day University structures

In January 2010, UCL acquired a new organic regulation. It is now organized into three sectors, Human Sciences, Health Sciences and Sciences and Technology, 13 faculties (see below) and 21 institutes (see below):

Faculties and schools :

Sector of Human Sciences
> Faculty of Theology
> Faculty of Law and Criminology
> Faculty of Economic, Social, Political and Communication Sciences
> Louvain School of Management
> Faculty of Psychology and Educational Sciences
> Faculty of Philosophy, Arts and Letters
Sector of Health Sciences
> Faculty of Medecin and Dental Medecin
> Faculty of Pharmacy and Biomedical Sciences
> Faculty of Public Health
> Faculty of Motoric Sciences
Sector of Sciences and Technologies
> Faculty of Sciences
> Polytechnical School of Louvain
> Faculty of Architecture, Architectural Engineering and Urbanism (LOCI)
> Faculty of Bioengineering

The second level of operation in UCL university organization, along with faculties, is the **research institute** that develops and implements research policies in the scientific disciplines. An institute can articulate its policies around **research centers**, or **research poles**. Institutes and centers are supported by **technological platforms** bringing together the technical and administrative staff around a coherent set of scientific and technical equipment (testing laboratory, archive center or translation...). They can be integrated in an institute, or co-managed by several independent institutes. The platforms also support teaching and service to social activities. Alongside these structures, research centers bring together members of one or more institutions around a *common project*. The aim is to encourage interdisciplinary research, high level and stimulating temporary grouping of people around disciplinary objects or common themes.



The list of research institutes and the sex of the presidents of institutes are enlisted as follows :

1. Sector of Human Sciences

Name of Institute	ACRONYM	PRESIDENT (Prof.)
Institute of Civilisations, Arts and Letters	INCAL	Male
Institute of the analysis of contemporary changes in history and of societies	IACCHOS	Male
Institute of political sciences Louvain –Europe	ISPOLE	Male
Institute of Language and Communication ⇒ 2 poles : - Pole of research in communication (PCOM) - Pole of research in linguistics (PLIN).	IL&C	Female
Institute of research in psychological sciences	IPSY	Male
Superior Institute of philosophy	ISP	Male
Louvain School of Management Research Institute	ILSM	Male
Institute of research in religions, spiritualities, culture and societies	RSCS	Male
Institute of interdisciplinary research in juridic sciences ⇒ 6 poles : - Economic and Social Law (PJES),- International and European Law (PJIE), - Penal and Law and Criminology (PJPC), - Private Law (PJPR), - Public Law (PJPU),- Theory of Law (PJTD)	JUR-I	Male

2. Sector of Health Sciences

Name of Institute	ACRONYM	PRESIDENT (Prof.)
Institute of research of health and society	IRSS	Male
Institute of Neuroscience ⇒ 3 pôles : - Cellular and Molecular Pole (CEMO), - Systems & cognitive neurosciences (COSY), - Clinical neurosciences (NEUR).	IoNS	Male
Louvain Drug Research Institute	LDRI	Female
Institute of experimental and clinical research ⇒ 21 pôles : - Pole of cardiovascular research (CARD), - Computer Assisted Robotic Surgery (CARS),- Pole of experimental surgery and transplantation (CHEX), - Pole of clinical attempts (ECLI),- Pole of endocrinology, diabetes and nuitrition (EDIN),- Pole of epidemiology et biostatistics (EPID), - Pole of pharmacology and therapeutics (FATH),- Pole of hepato-gastro-enterology (GAEN),- Pole of gynecology (GYNE), - Pole of medical imagining (IMAG)- Louvain Centre for Toxicology and Applied Pharmacology (LTAP), - Pôle de medical microbiology (MBLG), - Pôle de médecine aiguë (MEDA),- Pole of molecular Imaging, radiotherapy and oncology (MIRO), - Pole Mont-Godinne (MONT), - Pole of morphology (MORF), - Pole de nephrology (NEFR), - Pole of pediatry (PEDI),- Pole de pneumology, ORL and dermatology (PNEU), - Pôle de rhumatic pathologies (RUMA), - Pole St. Luc (SLUC).	IREC	Male
Institute of Duve ⇒ 11 pôles : - Biochemical-metabolic research (BCHM, - Cellular Biology (CELL), - Cellular Genetics (GECE), - Genetics (GEHU), - Epigenetics (GEPI), - Liver and pancreas différentiation (LPAD) - Experimental Medecin (MEXP), - Protein phosphorylation (PHOS), - Cell signaling (SIGN), - Tropical Medecin (TROP), - Virology (VIRO).	DDUV	Male

3. Sector of Sciences and Technologies

Name of institute	ACRONYME	PRESIDENT (Prof.)
Institute of Life Sciences	ISV	Male
Institute of Mechanics, Materials and Civil Engineering ⇒ 5 poles : - Civil and environmental engineering (GCE), - Materials and process engineering (IMAP), - Mechatronics (MCTR), - Applied mechanics and mathematics (MEMA), - Thermodynamics and fluid mechanics (TFL).	IMMC	Male
Earth and Life Institute ⇒ 5 poles : - Agronomy (ELIA), - Biodiversity (ELIB), - Earth & climate (ELIC), - Environ-mental sciences (ELIE), - Applied microbiology (ELIM).	ELI	Male
Institute of Condensed Matter and Nanosciences ⇒ 3 poles : - Bio and soft matter (BSMA), - Molecules, solids and reactivity (MOST), - Nanoscopic physics (NAPS).	IMCN	Male
Institute of research in mathematics and physics	IRMP	Male
Information and Communication Technologies, Electronics and Applied Mathematics ⇒ 3 poles : - Pole in electrical engineering (ELEN), - Pole in mathematical engineering (INMA), - Pole in informatics engineering (INGI)	ICTM	Male

4. Intersectorial

Name of Institute	ACRONYME	PRESIDENT (Prof.)
Institute of multidisciplinary research for modelization and quantitative analysis ⇒ 3 poles : - Center for operations research and econometrics (CORE), - Institut of social and economic research (IRES), - Institute of statistics, biostatistics and actualary sciences (ISBA).	IMMAQ	Male

Gender dimension in presidents of Institutes:

In all three sectors and in all the institutes of UCL, there are currently only two female presidents of institutes, of Louvain Drug Institute, and Institute of Language and Communication, as opposed to 19 male presidents of institutes, from a total of 21 Institutes.

Main legal texts of reference for UCL

UCL has been a signatory of the Magna Charta Universitatum in Bologna, on the 18 September 1988. It also signed the Berlin Declaration on the Free Access to Knowledge in exact Sciences, life Sciences, human and social Sciences. There has been a constitution of the ‘'Académie Universitaire 'Louvain' published in a press communication (see policy analysis part II). It has also subscribed to the European Commissions recommendations regarding the European Charter of Researchers and a Conduct Code for the recruitment of researchers (see policy analysis part II).

2.2.2 Managerial Framework

Governance

The governance of UCL is composed of the following structure and positions of the decision-making bodies of the overall organization:

University Organs	Organizing Authority		
	Council of Adminstration		Academic Council
	Rector		Rector’s Council
	Executive Buro		
Direction, Cabinets and Staff in Service		Direction, Cabinets, Staff in Service to the authorities and the general adminstrator	
Sectors (faculties, institutes and technological plat-forms)		Sector of Human Sciences, Sector of Health Sciences, Sector of Sciences and Technologies	Deans and Vice-Deans
Administration		General Services, General Scientific Logistics	
Organs of Concertation :	***Syndicate Delegates***	***Representatives of Associations :***	***Privileged Partners***:
Council of Enterprise		1. Personnel UCL 2. Academic Corps (CORA) 3. Scientific Corps (CORSCI)	Different medical clinics, and non profit organizations
Comittees for the prevention and protection at work		4. Administrative and technical personnel (CORTA) 5. General Assembly of the Students of Louvain (AGL)	

The **organizing authority** is composed of the archbishop of Malines-Bruxelles, who is president, and great counselor of the University, of the Bishop of Tournai, the Bishop of Liège and the Bishop of Namur. The **Council of Administration** is the organ with the ultimate decision-making power for the management and administration of the University. It is composed of the rector (male), the general administrator (male), and the six vice-rectors (of which one is female), six pro rectors (of which two are female), and three representatives for the Academic Council, the Scientific Council, the Administrative and Technical Council, five student representatives (of which two are female). Of the 23 members, five are female, with one leading position of vice-rector, two pro rectors and two student representatives. There are moreover six permanent invited members, of which three are female and three male. It comprises moreover two delegates of the government of which one female and one male. The current **rector** of UCL is a male Professor of Applied Mathematics and is appointed for his mandate from 2014 to 2019.

The **Cabinet of the rector (CRCT**) supports the rector and the rectoral Council in the accomplishment of their missions and in the development of UCL Policy, both internal and external, and in matters of formation, teaching, of research, of national and international institutional relations, and of the management of the institution. It prepares moreover the following files of the:
Of the rectoral Council,
Of the Academic Council in close collaboration with its secretary
Of the Council of Administration,
Of the CRef and the CIUF, in collaboration with the Administration of teaching and of formation (ADEF) and of the Service of Studies (SET).

It provides a juridical Council in collaboration with the administrations and public services, in internal coordination with the group of jurists. The Cabinet moreover assists the Rectoral Council in the management of the individual files of the academic and scientific corps members. The Cabinet ensures a function of specific administration for the execution of different procedures concerning:
The academic Framework
The research Framework
The attribution of the teaching assignments

Moreover, the Cabinet has direct contact with the administrative services and the faculties, notably via the college of administrative directors of the faculties, where it has a permanent invited member status. Finally, the cabinet of the rector, in collaboration with the general administrator's cabinet and those of the vice-rector of student affairs, handles all demands of files in management that are not assigned to any other services. The Staff consists of four women, chef of cabinet, mission-in-charge of the vice-rector of the personnel Policy and group of jurists, mission-in-charge to the vice rectors of the sectors, mission-in-charge to the service to society. Moreover, it comprises five secretaries of whom four are female and one male.

According to the organic rules of UCL (1st Feb. 2010 version), the **Executive Bureau** is an organ that ensures within the framework of the policy defined by the Academic Council, the ongoing management of the University in academic and scientific matters, with some exceptions assigned to other organs. It reports regularly to the Academic Council and the Administrative the execution of this mission. In urgent cases, the Academic Council can question the Executive Bureau on certain questions that the bureau needs to justify during its next session (Art.15). The Executive Bureau is composed of a) the rector, the general

administrator, the vice-rectors and pro-rectors in their different mission-in-charge; b) members designated by the Academic Council for interested delegates, who are respectively representatives of the scientific, academic and administrative and technical personnel, as well as of student body; c) several administrators designated by the Administrative Council (Art.14). The rector presides the Executive Bureau, which is considered a collegial organ. Its members have to maintain discretion as to their deliberations. The Bureau establishes its internal order, which it submits for approbation to the Academic Council. (Art.16).

The **direction or heads of management of UCL** is composed of the following mandates:

The Rector (currently male)				
The general administrator and vice rectors				
The general administrator (male)		Vice-rector for student Affairs (male)		Vice rector for the policy of personnel (female)
The vice-rectors of the sectors (SSH/SSS/STEM)				
Human Sciences (male)		Sciences of Health (male)		Sciences and Technologies (male)
The pro-rectors and the vice-rector by mission				
Teaching and Formation, in charge of communication (male)	Research (male)	International and in charge of culture (female)	Regional affairs (male)	Vice rector UCL in Hainaut (male)

Together they form what is called the **Rectoral Council**. The individual responsibilities of its members are object of a communication by the rector at the Administrative and Academic Council. The Rectoral Council holds its meeting every week during the academic year, in view of the collegial examination of all questions pertaining to academic and scientific management, its strategy of development, its presence in society, and all other questions relative to the proper functioning of the university. It ensures the daily management of the university; it distributes the responsibilities amongst its members and that of the university community, with exception of the attributions conferred to the general Administrator (Art. 19 of the organic rules) and generally, to the other members of the Rectoral Council by the rules of the university. The Rectoral council moreover prepares the files of the Academic Council, and the following propositions to the attention of the Administrative council;
- the propositions of the nomination of the academic personnel ;
- the propositions of promotion of members of personnel ;
- the propositions of the annual budget ;
- the propositions of attribution of academic charge (academic posts);
- all strategic proposition concerning the competence of the Administrative Council

The **Academic Council** defines the scientific policy of the University in matters of teaching and of research, and conceives the realization plan of this policy in its applications. It coordinates the policy of the sectors, the faculties, the institutes and the other entities of teaching or of research. The composition of the Academic Council comprises, the rector, general administrator, vice and pro-rectors, representatives of each sector by its respective presidents, representatives of all three corps, Academic, Scientific and Administrative and

Technical corps, the student representatives, permanently invited members as well the secretary of the rector's office.

There are moreover seven different commissions of the Academic Council, whose mission is to counsel and provide information in the six different areas:
The Council of teaching and of formation (CEFO) Contact : male
Research Council (CREC) secretary : female
Council of international relations (CRI) Secretary : male
Council of continued formation (COFC) : contact female
Council of libraries (CBIB)
Commission of deontology and research (CDR) Secretary : female
Committee for communication and of culture (CPC) Secretary : male
Council to the service to society (CSES) - Président : male

There are various **services to staff for assisting the authorities**:

Studies Service (SET)

Missions **Direction: male**

Providing assistance in decisions in support of the authorities. The SET provides the analyses, Tools, models and stimulations in view of different strategic files.

Service of Internal Audit (AUD)

Missions **Direction: male**

Evaluating independently the internal control, which exists for a particular service or procedure, proposing recommendations to improve University organization in view of the objectives of internal control (the preservation of the patrimony, the efficient and effective realization of operations, the respect of laws and rules and the viability of information circulating within the university.

Assistance to and following up of the peripheral associations (ASBL).

Services in staff of the general administrator:

Service of Security and Radioprotection (SERP)

Missions **Direction: male**

Council and assistance in all matters concerning prevention and protection at work, respect of laws in matters of protection of the environment and/or the usage of ionizing radiations, notably in the domains of well-being at work, risk management, accident prevention, organization of space and of work places. Etc.

Archive Services (ARCV)

Missions **Direction: male**

Managing the definitive archives of the University and the participation in the organizing of live archives. Survey the proper management of the total of documents produced or acquired by the university, in order that they may be stored or preserved in the different entities.

The **Council of Enterprise** is an organ of which the attributions are fixed by law. It is composed of the delegates of the employer and the delegates of the personnel. The latter

are elected every four years during the social elections. The current Council of Enterprise was elected on 8.May 2012 and has commenced its office on the 25th of June 2012. This organ has the essential mission of receiving information from the direction of the university about the financial situation and the evolution of work in all categories of the personnel, as well as the activities of teaching and of research. It has also the mission of giving its opinions and making suggestions or objections in all measures regarding the modification of the organization and conditions of work, the continual formation of the personnel, the policy of personnel, the modifications of the structure. These opinions have to be made before any decision-making by the direction of the University. The Council of Enterprise elaborates and modifies the work regulation (rules) of the University. It examines the general criteria in cases of firing or of hiring of personnel. It fixes the annual vacation dates. It manages the social operations within the enterprise. The working groups on "Mobility" and "Positive Actions" have to account for their work to the Council of Enterprise.

The Council of Enterprise is composed of the general administrator, who presides, the secretary, representatives of the employer, (of which effectives, supplicants and permanent invitees), representatives of the personnel (of which effectives, supplicants, employees, syndicates/cadres etc.) and workers. The total number of members of the Council of Enterprise is currently 54, whereby 26 are female, of which the most are within the groups of reps of personnel and syndicates.

There are moreover at UCL, various **committees for the prevention and protection at work**. All enterprises holding at least 50 workers must have a committee for the prevention and protection at work as per Belgian law. This committee is composed equally of effective delegates and of suppliants representing the employer and the workers. It unites once a month and whenever at least a third of the delegation of the personnel has demanded a meeting. The chef of the enterprise or his delegate presides the committee. He fixes the order of the day and enlists all points proposed by a member of committee. He makes the verbal process of the preceding session. The internal chef of the service of prevention and protection at work or one of his "assistants" ensures the secretariat. He writes up the verbal processes of the meeting and transmits them to the effective and suppliant members, as well as to the doctor of work. The committee's main mission is to produce opinions and formulate propositions on the policy of well being of workers during the execution of their work, about the global prevention plan and the annual action plan established by the employer. The committee is also associated in the management and activities of the department charged with security and health.

The **Scientific corps** (CORCSI) represents the 2200 researchers of the UCL in the academic structures, and in the different decision groups. Therefore, the CORSCI is associated to the decisions influencing the researcher's daily life. The CORSCI is the means to give a feedback about questions and worries to academic or political authorities. The CORSCI works on the basis of representation: the Council, or "parliament", consists of researchers issued from each sector and from the research institutes. The researchers of their sector or of their institute elect the members of the Council. Elections are organized at each academic year's beginning.

The **Academic corps** (CORA) is the organization of the ensemble of the members of the academic personnel, which is constituted to contribute to the daily life of the University and to collaborate with the elaboration of its policy and of its organization to the functioning of its organs. It is therefore represented in the Academic Council and other university commissions. It ensures the defense of the interests of the academic personnel of UCL. It

negotiates to this effect with the academic authorities the applicable regimes to the academic personnel. The Academic corps is represented by a Council (see Academic Council), comprising per faculty, two effective members and two suppliant members elected by universal vote and by secrete scrutiny of all the members of the academic personnel in each faculty. The Council elects the Bureau, comprising the president, the vice-presidents and the secretary of the CORA. The CORA of UCL is represented in a committee regrouping the diverse organizations of the teaching personnel of the university institutions of Belgium.

On the level of the **institutes**, in terms of the different principles of structure the regulation "Balises pour la gestion de prise de décision au sein des Instituts" Rules for the managing of **decision making within the Institutes**, established in October 2010, the following rules are applied to the hierarchy of decision-making and also the Human Resource Strategies, which were implemented with the new regulation of organization in UCL as per 2009:

*Art. 3 (partial extract) – The **sector** manages the academic, scientific and administrative and technical frameworks of the sector; it distributes the budgets and other resources, which are attributed to the sector.*

*Art. 13 (partial extract) – The **vice-rector of the sector**:*

- gives his opinion upon all procedures concerning persons that have to do with is sector. The vice-rector of the sector also arbitrates whenever conflicts may arise between the different organs of the sector

*Art. 48 (partial extract) – The **president of the institute**:*

- maintains a dynamic of professional development of the persons relevant to the institute

- gives his opinion concerning all procedures relating to the persons within his institute.

Financial management

The **Rectoral council** (7 members, of which 2 are female) usually makes a proposition to the Administrative Council about the annual budget, which is then discussed and decided upon within the Administrative Council, presided over by the chief executive or **general administrator**, currently male, who has a mandate of five years. The current male appointee has been renewed in his previous office of five years and will continue for another five as of November 2015. He has the main decision-making power in terms of budgets and finance. According to a publication in the UCL website, he will be responsible for the day-to-day management of the University, and will continue his administrative, technical and financial work using the approach of consultation, dialogue and collective work that he developed during his first term. Among his priorities for the next five years will be ensuring that the University continues its multi-site development in terms of estate management and urban planning. Internally, the focus will be on administrative coordination between the bodies in charge of the different sites and maintaining the good financial health of the institution, which has deemed shaken by both the economic crisis and the upcoming review of university funding planned for 2016. The continued improvement of the information system will also be on his agenda. The election of the general administrator is proposed and accepted by the Administrative Council, after a positive opinion by the Academic Council. The current male general administrator, is aged 52, and has succeeded his post to that of a female general administrator, who had been employed at UCL for the past 35 years, being dean of ESPO the faculty of Economic, Social and Political Sciences, from 1987 to 1991 she was elected vice-rector for academic affairs, and then appointed general administrator while maintaining a

teaching post for political economy. Whereas the general administrator is charged with the daily management of the university in administrative, technical and financial matters, since 2009, due to the change introduced by the previous female administrator, the management of the administrative and technical personnel is ensured by the vice rector to the politics of personnel (currently female).

The **Council of Enterprise,** with its 54 members (of which 26 are female), has certain intervening power in financial matters, as it is provided with information regarding the financial situation of the university by the rector Council and its advisors. It then gives its ok or its opinions as to the course to follow before any actual decision-making ensues by the rectoral Council. The representatives of both employer but also workers have therefore some say in financial matters, as they have intervening power.

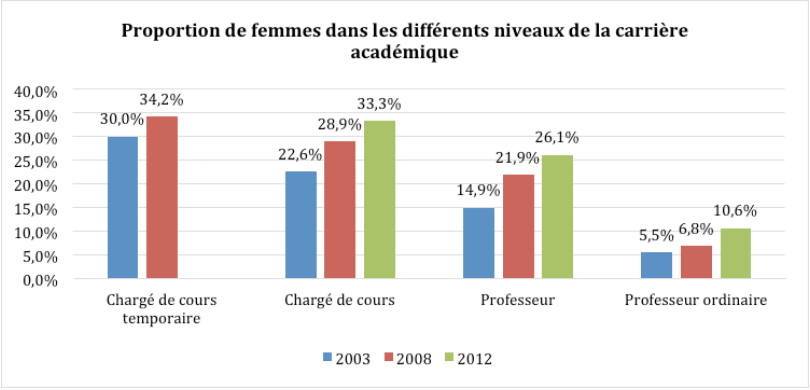
In an interview held with the **rector** published in "The Science" in March, 2014, he answers to the question about more feeble means for university budgets, but still having at disposal an annual budget of 320 millions Euros:

"Effectively, yes. This is the annual budget of the university without the research contracts. Two third of this budget comes from the donations of the French community (political community). When I am speaking about mediocre means, I am referring to the evolution of means in these ten past years. If one equates these means to the number of students attending the university, there is a decrease of means of about 20 % in ten years. And if one compares the situation to that of other countries, then we are clearly less well off."

The different sub-budgets distributed to the three sectors (SSH, SSS, STEM) by the Administrative council and general administrator, are then managed by the sector heads, the **dean** and **vice-deans**.

Gender dimension in the distribution of personnel in UCL:

Table 1- Academic Personnel - Evolution of the proportion of women on the different levels of the academic and scientific career - between 2002-2003, 2007-2007-2008 and 2012- 2013[63]



[63] Source : Banque de données du Conseil des Recteurs : graphs created by gender adminstrator UCL Edithe Antoine, RHUM

Table 2 – Scientific Personnel - Evolution of the proportion of men and women in the scientific personnel - upon ordinary budget - between 2002-2003, 2007-2007-2008 and 2012- 2013[64]

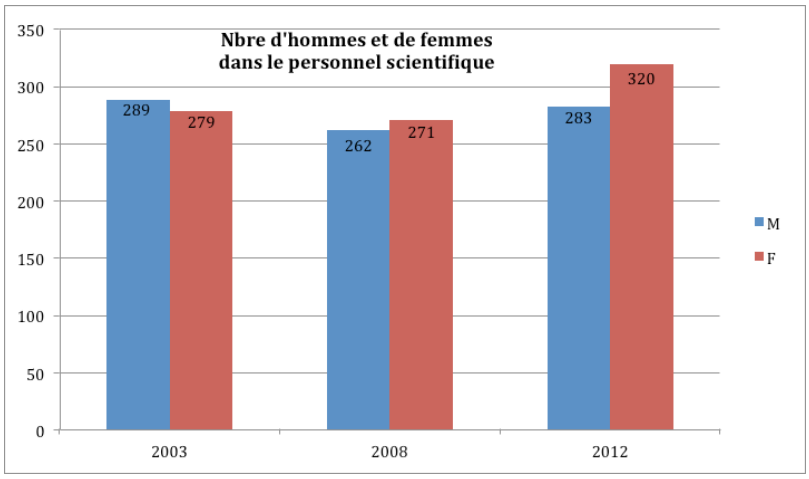
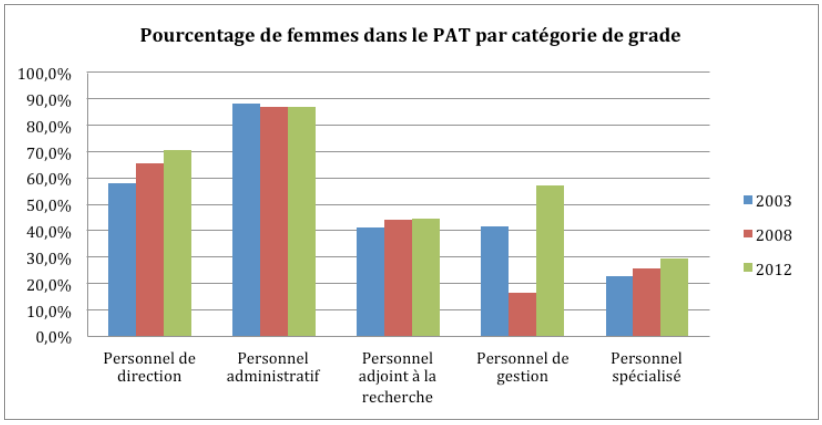


Table 3 – Administrative and Technical Personnel - Evolution of the percentage of women in the adminsitrative and technical personnel - between 2003 -2008 – 2012



From left to right: personnel of direction, administrative personnel, adjuncts to research, management personnel, and specialized personnel

Glass Ceiling Index for UCL 2012:

According to the calculation of the percentage of women in permanent A,B,C posts divided by percentage of women in A posts, the Glass Ceiling Index of UCL for women in academic positions is 6,6. Although the SHE figures 2012 glass ceiling index is for the year 2010, the

[64] Source : Banque de données du Conseil des Recteurs

average Belgian Glass Ceiling Index for academic positions was 2,5. So UCL can be considered having a pretty thick Glass Ceiling for women in academic careers in 2012.

2.2.3 The academic institution's visions and strategies

A) Ideological underpinnings and visions of UCL:

In this section we give some idea of the kind of visions or ideologies that are discursively deployed in UCL's presentation of itself in its public website, but also publicly or mediatized interviews by key figures. Some idea is also given in extracts of interviews with hierarchically key governing players for both the direction level, as well as the level of the two Garcia institutes, which is presented in part III interview section of this report. Here, the idea is to give some key words and expressions that stand out by highlighting in the extracts and texts, which represent the discursive ideologies that are propagated.

The **vision of the new rector** of his office and of UCL is, in his own words on the UCL website at the beginning of his appointment:

« The University is rich in ideas and initiatives of its members. I would like to instill a climate of confidence and of encouragement with respect to the creativity and the initiatives in all the spaces of the university. The unanimity will not always be achieved in all propositions, but we are building on *collegiality*. I would like to exercise my mandate with confidence at the heart of the university and with our exterior partners. Since my election, I have had an *exchange with a number of actors of the political, social, economic and cultural world*. I am struck to what extent we are united in the essentials towards the same objectives. We are all convinced that the university and higher education as an ensemble has to play a *central role in the deployment of our regions and of the whole country*. All of us, we strive towards a *mobilizing and ambitious environment* for our researchers and our students. (Rector of UCL, September 2014)»

The **overall or general missions of the university**, which are rather held in form of self-descriptive attributes, are described in the website as follows: "UCL is:
A university with an *international reputation* in matters of teaching and research,
A university *favoring international mobility* of persons and of knowledge,
A university valuing *pedogogical innovation*,
A *humanistic* university by choice and by tradition,
A university active in the *regional development*,
A university in a *priviledged environement*.

<u>Teaching mission defined by UCL website</u>

The lecturer or teacher/professor is described as a juggler of different medias, of the transmittor of text and image and of writing, who conjugates technicality and humanity. Defined as a transmittor of knowledge, questionner of knowledge, supposed to be learning constantly. Student and teacher, he is supposed to hold within himself like an internal clock, the perpetual movement of learning, of the falling into place of critical reflection, of the dynamic of progress.

At UCL, pedagogy is considered as a one of the keys of success of the student, which moblizes important ressources in the different faculties. The *new technologies of information and communication (NTIC)* are seen to dynamize teaching in a spectacular fashion. In response to which, in 1995 an *institute of university pedagogy and multimedia* (IPM) is

created. In 2000, there is moreover the creation of a platform of interactif teaching Icampus. Most professors use this tool profusely, with the collaboration of the students, seen to be highly receptive to NTIC.

An ambitious project named "*Managing your (own) formation*" which is applied in most faculties is aimed at increasing the autonomy of the student in their learning, and of framing and constructing the learning by taking into account all components actively : theoretical courses, pratical work, team work and invidiual work, general culture etc. The teacher is seen to be in the position therefore of quesitonning his practice at the same time as the student, notably by adapting their methods of evaluation and of operating in a team of teachers for the same course.

The requirements for formation are described as needing to be more than ever before a global process, which is inscribed *throughout life (life-long learning)*. The university is seen to be conceived in this veneer of continual formation. This is seen to be the primary motivation for the creation of the Institute of continued formation (IUFC) at UCL. Its role is seen to be vigilant towards the *demands of society (the certified, enterprises etc.), to be anticipating as well as facilitating the expression of offers* of the faculties and schools in subject matters of continued formation.

The "Research" mission described by UCL website

Research is seen to be *dissociable to learning and teaching*. Research being the motor and reason of being of the university. Although fundamental research – which is seen not be practiced anymore in universities – always is seen to nourish teaching or to find a social utility.

Described as often applied but also implied, research at UCL is seen to be the *daily profession of responsible and passionate women and men.* Short or long term, it is described as one of the *best investments, in terms of economic, social or cultural investment*. *Financing research*, as much as financing education and health, is seen to be a priority and pride of a evolved society.

A *great contemporary university* is described as distinguishing itself by its *presence in the international networks* and by the *quality of its numerous publications*, which manifests its *research excellence*. UCL is described as being inscribed in *first degree to numerous European framework programmes*. More regionnaly based, UCL is named to be participating very actively *in research programmes of the Federal Belgian State* – notably of the interuniversity attraction poles (PAI) – and is seen to support attentively the development of regions witin which it deploys its sites and missions.

The research at UCL is described as giving space to the *development of spin-off companies or firms*, in first instance Ion Beam Applications (IBA), described as world leader in the fabrication of tiny cyclotrons for various medical and industrial applications; Xylowatt, which exploits a process discovered by UCL for the production of energy by the means of a gazificaton of wood waste; or Alterface, which creates tools of communication founded upon logicals of recomposition of digital video images.

The website moroever redirectes to another page describing research:

UCL is described as *complete university*, with the *most important number of students* in the French speaking community of Belgium. Research is carried out in three sectors, which compose it, by covering various domains relevant to Human sciences, Health Scienes and Sciences and Technologies.

Fundamental research (or free research) as much as applied research (or orientated research) are seen to pursued with the same *enthusiasm, which is renewed constantly*. *Interdisciplinarity* is seen to be cultivated via the numerous collaborations between teams of research, between insttiutes and sectors, as well as with other universities and research centres in Belgium and abroad.

The following quest of *quality and innovation* are named as being regularly compensated by numerous awards and distinctions and excellent results in matters of financing of projects and of research mandates.

Rankings

In a media interview in the online UCL newsletter "La Quinzaine" in 2009 with the pro-rector of research at the time, there is an exchange about the rankings of UCL in Shanghai and Times lists and about the relevance or importance of types of criteria of rankings:

"The author of the article writes: Our university is situated according to Shanghai amongst the range of ranks between 101-150 worldwide (in the range of 34 – 56 in European level). According to the QS rankings of the universities, the UCL has moved up two places from 126th to 124th. This makes of our Alma Mater the first frenchspeaking university and the 2nd Belgian university. The K.U.Leuven is for the 4th consecutive year the 1st, the only institution to have attained that level."

Interview extract of article author with previous pro-rector of research: " We can congratulate ourselves! Especially if one knows that we can count nearly 20 000 universities worldwide. *However UCL is not included in the Times rankings, although included in a plethora of classifications. How do you explain this?* "Our University was not able to present the data on time. Before however, the Times used to use the data of QS; this year, the two classifications were doubled or run independently, which has created some confusion for a certain number of institutions. This will be done at a latter period no doubt. In the interim, new classifications keep appearing and it is not always easy to bend to this exercise. In the next few months there is a launch of a EU classification. This exercise, which is announced is more promising as it aims at a more finer presentation of the attributes and handicaps of the university institutions by integrating criteria, which are seldom included in the asian or anglo-saxon classifications. Such as for instance the quality of teaching or the regional impact". *Is this going toward a rapport between and cost and benefits? Some caution seems to remain in the answer*: 'The classifications such as they are, offer only a partial reality of the complex reality of the university. Until today, one rarely takes into account the investment of an institution to produce the desired results. The results obtained are rarely put into relation with the available ressources at the disposal of universities. " *Will the future classifications take this into consideration*? "It would certainly interest the political actors!". replies the prorector of research."

B) Policy and strategic planning of the institution:

1st Policy analysed: The EuraxeSS charter and code for UCL

According to the UCL website and a policy document, EURAXESS Rights provides information on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. Any institution that employs or funds researchers is asked to respect the 40 principles laid down in these two documents in its human resources strategy. The UCL signed the Charter and Code on 23 January 2006 and reiterated its commitment on 6 July 2010, thereby expressing its determination to support the European initiative and to implement a

human resources strategy aimed at improving the recruitment, working conditions and careers of researchers. In March 2011, the European Commission approved UCL's Human Resources Strategy for Researchers 2011-2014 and awarded it the logo "HR Excellence in Research". By the end of their first two years of activity, UCL has conducted an internal assessment in order to measure the progress made in implementing its action plan. The Academic Council has approved this document on July 1, 2013. HRS4R 2011-2014 - Self-assessment. The aim was that its continuing implementation should help to improve all UCL researchers' working conditions and career advancement. There are four axes of improvement to which UCL has committed itself according to the charter, of which one in particular refers to "promoting equality between men and women":

Dimension I: Ethical and professional aspects

"At the UCL, whether in terms of academic and research freedom, of ethics or of professional responsibility, the current principles and practices conform to those outlined in the 'Charter' and in the 'Code'. The existing rules and procedures provide researchers with a high-quality framework for their research. The necessary structures and instruments are in place for all researchers, allowing them to manage all aspects related to intellectual property, to respect financing methods, to the dissemination and exploitation of their results, etc. However, it would be desirable to give stronger visibility to the Research Ethics Committee (Commission de déontologie de la recherche) and to expand local initiatives dealing with the 'Guide to Good Practice for Researchers' to the entire university."

Objective: Increasing the visibility of existing mechanisms related to ethics and code of practice.

Dimension II: Recruitment

« The recruitment policy of the UCL strives to be of the highest possible quality. Recruitment procedures are open, effective, and transparent. Selection committees are chosen with the greatest care and bring together the necessary expertise and skills. Candidates receive the necessary information in order to apply in the most advantageous manner. In terms of academic recruitment, the UCL has a policy that is particularly open to outside control. The same also applies to the recruitment of research personnel. At the same time, the UCL is well aware that when researchers are recruited on the basis of funding coming from outside the university or the national science foundation, the posting of research positions is not systematic and international awareness of these positions could be improved. Finally, even though the University attracts a large number of international researchers, the institution would benefit from making its assets as an employer better known outside the borders of the country. »

The objective is named as: Improving the recruitment of all researchers in order to make it more open, transparent, and fair

The points 2 and 3 are interested and can be highlighted for the following properties, which tie together with one of the visions deployed by UCL self-presentation and newer orientations mentioned in the previous section:

2. *Increase openness to internal, external and international recruitment*

- by ensuring the visibility of all open positions by improving the use of the

Definition and implementation of a communications plan aimed at the continuous promotion of Euraxess Louvain International Desk + Communication Department + Research

Administration Starting 2011 Continuously existing communication channels and, most importantly, by promoting the use of the Euraxess Jobs portal

- by enforcing the systematic publication of positions – especially at the doctoral and post-doctoral levels

3. *Promote internationally the UCL as an employer*

by relying on the Louvain International Desk (LID). The LID is an administrative structure established recently with a view to co-ordinating initiatives relating to the reception of information for international researchers and students.

Dimension III: Working conditions and social security

"For many years, the UCL has been investing energy in order to offer its researchers attractive working conditions, good salaries, and a rewarding and pleasant work environment. Through the implementation of a separate management structure for teaching and for research, the UCL's recently adopted an organizational structure, which should contribute very significantly to a further *increase of the quality of the research environment*, making it more stimulating, more visible, and more effective. At the social level, the UCL has always been a proactive institution. As a case in point, as early as 2003, the UCL has been able to offer *the extension of social security coverage to post-doctoral researchers*. In its implementation of legislation, the UCL adopts the rules that are the most favorable to researchers by making the best possible use of the legal framework. In addition, the UCL plays an active role in all initiatives aimed at improving researchers' professional situation and attempts to *remove the shackles from scientific mobility*. The UCL is deeply involved in the development of the Scientific Visa. Last but not least, the UCL is also committed to the promotion of equal opportunity. Unfortunately, in spite of its efforts, the UCL observes the persisting inequality in the proportion of women in the highest research positions."

Here both the subject and objectives are focused upon the gender dimension, whereby it is described as: Promotion of equal opportunity between men and women

Objective: Promoting *equal opportunity between male and female researchers and working for a better gender balance in all aspects of research*. To this effect, the following actions are proposed, which are to be realized by mainly the Human Resource Management Services by end 2012/end 2013:

Pursue the analysis of existing initiatives and practices in order to promote their development, by making an Inventory of existing practices and initiatives & recommendations for wider use.

Encourage examination of the steps that might be undertaken in order to correct the disparities affecting the opportunities of female researchers in their professional life (recruitment, working conditions, work-life balance, etc.), by creating and sustaining an "Affirmative Action Group".

Adopt, in due time, an affirmative action program, implemented by the action group.

However, there are no specifications about what this action group or program is supposed to target. Gender equality is however definitely included in the strategic plan endorsed by the European Charter Code that UCL has subscribed itself to. We have however, little to no information regarding the implementation of the "Affirmative Action Group" and the development of the program. The current implementation in terms of gender orientated action is the assigning of a post of Gender representative, who has to formulate

recommendations as to potential actions, and of a administrative post charged with writing an annual gender report, taking into account all ongoing figures and developments in matters of gender in management, policy, research and teaching. In an informal discussion with this gender appointee in administration however, she points out that after having written up and submitted successively this annual gender report for 2012/2013 there are no follow up actions by the UCL governance in terms of a gender plan.

Dimension IV: Training and career

"With respect to the academic career, the UCL relies on specific career development tools, namely the so-called DVP (Dossier de Valorisation Pédagogique – 'pedagogical development record') and the so-called PAI (Projet Académique Individuel – 'individual academic project'). Regarding the scientific career, the doctoral training offered in the doctoral schools meets the highest quality standards. The requirements of young researchers lie above all in career coaching and management, especially in the transitional period at the end of the doctorate or the beginning of the post-doctorate."

Training

Objective: Increasing the quality of supervision, especially for young researchers.

As gleaned from the WP7 interviews on recruitment, key governing players explain the process of PAI and DVP. This can differ vastly in the way it is carried out or followed up: depending on the institute's president who can assume this role of supervision, or a head of research centre, this guidance or supervision can be more control-or guidance orientated. It can be carried out more in the way of an evaluation, or self-evaluation or progress report. However, we have very little data on the way this tool is experienced by the researchers themselves, and whether this contributes positively or negatively on their work, research and teaching development.

2nd Policy analysed: Convention of the constitution of the "Académie Universitaire 'Louvain'": attempted collaboration with four partners, and finally success of collaboration with FUCaM (Mons)

On the 28 June 2004, there was a proposition to unite the FUCaM (Mons), the FUNDP (Namur), the FUSL (St Louis) and UCL and sign the convention of the constitution of the *« Académie Universitaire 'Louvain'* ». This new framework is now endorsed more or less reluctantly by certain partners in the decree of the French speaking community of Belgium of 31 March 2004, and "defines the higher education, favoring its integration into the European space of higher Education and the refinancing of the universities". However despite the previous proposal to form one new university of UCL including all four partners, the collaboration has only been approved by FUCaM (Mons). In the previous convention proposal, the partners had defined the 'Académie Universitaire 'Louvain' as:

- a challenge: to *associate all institutions of a certain size and of different cultures* by respecting the identity and specificity of each partner;

- an ambition: of developing with new synergies, a university tissue that is more tighter upon the *Wallonia and Bruxelles territory* and of promoting upon this a teaching and research of quality, which is *internationally recognized*;

- a vision: of a university pole which is a *major actor in the development of the higher education in French speaking community of Belgium*, and *in Europe*, capable of inscribing itself in the *international networks of high level*.

3rd policy analysed: On the level of the **institutes**, in terms of the different principles of structure the regulation "**Balises pour la gestion de prise de décision au sein des Instituts"**, Rules for the managing of **decision making within the Institutes**, established in October 2010, the following new Human Resource Strategies are suggested with the new regulation of organization in UCL as per 2009, in view of the merger with the other three partner universities: "HR Strategy: the deployment of *professional lines*

Currently, increasingly there are analytical studies done on the management process, in the perspective of *reinforcing professionalization*, a *harmonization of practices*, a *coherence of the whole and a dynamic of sharing knowledge and experience*s. This dynamic, in view of the fusion, will be all the more reinforced that these professions are shared by a greater number of persons, who have different institutional cultures. The professional line has the mission to overlook a good practice, which is constantly renewed, procedures and know-how of professions of all persons that exercise it. Those that coordinate these professions have the responsibility to put at disposal their competences, of ensuring constant formation and of managing transversal professional pathways."

2.2.4 The Financial framework

Funding to the academic institution

This information or section was composed with the extracts of an ***interview held with general administrator***, who holds the key position at UCL as appointee for management of finances at UCL.

The **annual budget** of the university is around 465 millions Euros and is distributed globally into three different parts:

A. The ordinary budget and social budget come from public subsidies allocated structurally to the universities by the Federation Wallonia-Bruxelles. It represents around 258 million Euros. This budget covers the costs of non-executive personnel (academic, scientific and technical and administrative personnel), and a budget of around 160 million Euros; the equipment and functional charges, as well as logistic charges (electricity, maintenance…), and of around 58 million Euros ; and of a total of other posts such as the special funds to research, academic projects etc. for the sold. The social budget (more or less 28 millions) is allocated for the student housing, university restaurants, sports offer, student animation (for example project housings) and to social welfare for students (notably the social service).

B. External credits of research are currently counting more or less up to 125 millions (projects of public or private funding).

C. The non- assigned patrimony of the university (around 70 millions) and assigned patrimony (around 12 millions), is about 82 millions. These are the property of the university; the placements, legs, sponsoring. These can serve to finance sponsored academic chairs.

Public/governmental funding: basis, performance agreement and indicators

The public subsidies providing the **ordinary budget** are calculated by counting the pro rata of number of financeable students. The **value of a student** depends on the disciplines. Effectively, there are 3 different categories. A For the Human and Social Sciences, B for the years of study which are not included in A and not included in another group (in particular complementary masters outside of human sciences and doctoral formations), and C for the Sciences and Technologies and Health Sciences. The coefficient for a student A is 1, and for a student B 2, and for a student C 3. In other words a student in medicine or bioengineering is financed 3 times as much as a student in history or law.

This financing is done within a **global "closed" envelope**, which means that the public authorities have fixed an amount, which is then distributed to the different universities according to their share in the market. It has to be stated that as with the increasing number of students the envelope does not increase, making the pro rata share per students diminish. This system puts the different universities into a high level of competition to attract students, whereby one universities gain on subsidies will be another's loss. The social budget in contrast is not subject to the system of closed envelope. In sum, **the only criterion of performance that is utilized is that of attractivity towards students**. There is a little noteworthy exception, which concerns the doctoral theses, which are not allocated subvention unless there is the qualification obtained.

In terms of **autonomy**, the university has a large internal autonomy even in terms of every one of the parts of budgets subsidized by the public authorities (ordinary budget and social budget). However, in the assigning of the ordinary budget, more importantly, the university has to respect two rules: it should not exceed 80% of the amount for the personnel costs; and not exceed 20% of the proportion of ordinary professors.

In terms of **transparency of the funding process and the public information** that is available, UCL as well as the free Bruxelles have a particular status based on the law of 1911, which does not oblige them to be liable to the public deposit of accounts. However, there is some level of control exercised by the delegate of the government and by a reviser of enterprise. Having said this, however, the expenses or accounts are not published, but are not secret either.

Third party funding:

This type of funding comes largely from the credits of research that are obtained by the researchers (by public or private funds, around 12% come from private enterprise); the student fees and other income (legs, sponsoring). The university ist proprietor of some 900 hectars of land, of which a part allows the development of a technopole (called scientific Parc) in which enterprises can install themselves. They would then pay an emphytéotic canon in terms of the occupied space, of which 50% then goes to the university. These enterprises are also selected on the basis of their potential of collaboration with the University and its research centers. Here too the information is not publicized but not secret.

System to allocate funding within the academic institution:

The ordinary budget is distributed within the university in terms of three axes:

A. The non-executive personnel (academic, scientific, administrative and technical). There is an attempt at objectivation, but there is mostly a negotiation between local entities and the

central administration where the internal acquisitions are strongly defended by the local entities (sectors, faculties, schools, institutes, centers…) who try not to lose posts in this negotiation of renewal of personnel. They justify this in terms of their circumstantial needs. The payment of salaries is however effectuated by the central administration.

B. The functioning equipment of the sector and of their entities are distributed between sectors based on a proportion of ordinary budget (3,6%) assigned to the sector in the previous year. The history of the sector is therefore of significant importance, without a questioning from year to year.

C. The logistic support is taken into charge by the central administration. This concerns the financing of the maintenance of buildings, of electricity, heating etc.

The **social budget** is governed in a central manner. The **research credits** are by contrast locally managed, on the level of the institutes, the centers and the persons (supervisors). However, the university retains a percentage of every project (PAFG), which serves to support the ordinary budget (around 2 million Euros per year) and to finance the infrastructure (the localities – around 5 million Euros per year), which is under-financed by the public authorities.

Gender equality projects and/or programs that are funded:

There are no gender equality projects or programs directly funded by the university. However, since the new rectoral team has taken function, a gender counselor has been appointed from the academic and scientific corps in order to develop a gender program which will have financial implications.

Degree of centralization versus autonomy in the allocation:

The main financial allocation comes from the central governing organ, then the sectors (level 2) are responsible for managing their internal budgets, and for teaching the faculties (level 3) and the schools (level 4), and for the research the institutes (level 3) and sometimes the centers (level 4). In this way there can be very varied modes of regulation within the different local entities, which have a great autonomy in the decision affecting the resources for equipment and for functioning.

There is no funding allocated according to an incentive-based budgeting system at UCL, nor is there a distribution of funding connected to performance and success agreements of the faculties. However, as mentioned, at the level of budgets allocated to universities in Belgium the student attractivity plays a key role in the distribution of funds.

Although the distribution of public funding is not directly connected to third party funding, it is becoming more common that the public authorities require of universities to have private/public partners, in other words a co-financing of research projects for scientific research that are finalized (or orientated/applied). This is not yet the case for what is called more fundamental research. This differs according to the student categories described above for the three sectors, SSH, SSS and STEM, having different student pro rata funds A, B and C.

Gender is not seen to be linked to the budgeting contexts.

System of evaluation that affects the academic staff:

In terms of performance based measurements/evaluations of the work of the academic staff, the evaluation of nominated (permanent) academics is effectuated mainly at times of promotion, either at the passage between grades of “chargé de cours” (full lecturer) to that

of professor, and of professor to that of ordinary professor. The conditions of seniority in the grades are usually taken into account (8 years for the grade of professor in order to be able to apply for a grade of professor, and 5 years for a professor in order to apply for ordinary professorship). The most delicate passage is that of becoming an ordinary professor as there is a quota (20 %, see above).

There is not a formalized point assigning system. The promotions are decided in a promotion committee which is constituted of peers in the same disciplinary sector, which establishes the classifications on the basis of a deliberation/negotiation stemming from application files submitted by the candidates, which contain information about teaching that has been given (and the student evaluations), about the research activities that have been carried out and their valorization, about the service to the university community (the responsibilities that have been assumed) and the service to society. There is not a strict formalized monitoring of progress (quality assurance/control). The salaries are established in a scale, which uniquely depends on the seniority and of the grade (this practice is valid for all the categories of non-executive personnel). However, there is a rule that permits a researcher who has obtained a patent linked to his research activity to obtain a personal return of 25% of the revenues generated by the research activity (the 75% are collectivized).

There is not a direct demand on efficiency, but there is an informal pressure of maintaining a high quality in engagement in the three principle missions of the university: teaching, research and service. There is moreover an informal pressure named as producing "scientific excellence" that is identified in the interviews (WP4/WP6/WP7).

Gender dimension in research project funding:

Table 5: Number of funded European – national – local research projects received by full or associate professors by sex and institute, in 2013

		Institute	STEM/ELI	STEM/ELI	SSH/IACCHOS	SSH/IACCHOS
		Year	2013		2013	
		Sex	Male	Female	Male	Female
N of funded **European** research projects Full professor			17	0	4	1
N of funded **European** research projects Associated professor			*One figure*			
N of funded **national** research projects Full professor			2	4	2	0
N of funded national research projects Associated professor			*One figure*			
N of funded **local** research projects Full professor			48	7	6	3
N of funded **local** research projects Associated professor			*One figure*			

The figures for women getting research grants are very slim, especially in SSH in all three constellations, European, national or local projects. The difference between men and women

in terms of numbers in STEM is quite striking, especially for European and local project funding.

2.3 Gender composition of decision making bodies and decision-making processes in UCL and Academic and Scientific Personnel pursuing their career in IACCHOS and ELI

2.3.1 Gender composition of decision-making bodies and decision-making processes in UCL

Table 6 – Distribution of women and men in decision-making bodies

	H	F	Total	%age
The governing organs				
Le Conseil d'administration – Administrative Council	18	5	23	21,73%
Le Conseil académique – Academic Council	35	11	46	23,91%
Le Bureau Exécutif – Executive Bureau	14	5	19	26,3%
Le Recteur - Rector	1		1	0%
Le Conseil Rectoral – Rectoral Council	9	2	11	18,18%
L'Administrateur général – General Administrator	1		1	0%
The organs of sectors, of faculties and of institutes				
Bureau de secteur – Bureau of sector	25	7	32	21,87%
Doyens - Deans	13	1	14	7,14%
Présidents d'institut	19	2	21	9,52%
Responsables des commissions d'enseignement Heads of teaching commissions	10	0	10	0%
Les legal organs				
Le Conseil de recherche	?	1	?	
Le Conseil d'entreprise	31	23	54	42,59%
Le Conseil pour la prévention et la protection au travail	21	21	42	50%

The percentage of women in governing organs does not exceed 26, 3 %, and is usually around 20%, however decreasing the higher the ladder goes. Percentages in deans and presidents of institutes are under 10%,. The legal organs have a better equity in terms of representations of women and men. However, it is noteworthy that within the Councils (research, enterprise), the women representatives are largely to be found in worker or staff reps, or in the place of supplicants. There is however an equal number of women dedicated to the council for prevention and protection of work, as syndicate reps or members, or counselors.

2.3.2 Short introduction to IACCHOS and ELI

SSH:

The **Institute for the Analysis of Change in Contemporary and Historical Societie**s (IACCHOS) is a scientific confederation consisting of 12 research centers entirely or partially inter-reliant: these are organized either according to specific variations on a topic; or as interdisciplinary centers; or as inter-sector centers; or as network centers. There are approximately 200 junior and senior researchers and academics working in IACCHOS, which are from sociology, anthropology, history, psychology and educational sciences faculties and around 20 administrative coordinators. The management of the institute is headed by the president, currently a male professor in sociology, and has governing organs that are the council of the institute, the bureau of the institute and the management board of the institute.

In a presenting pamphlet it describes itself as follows:

The Institute of Change in History and of contemporary Societies is born in 2010 in response to a realization of the development plan of the UCL, which is inscribed in the philosophy of interdisciplinarity. Today, the institute is a scientific confederation of 12 research centers, which unites more than 200 various researchers, coming from the following disciplines: anthropology, demography, didactics, economy, history, developmental sciences, educational sciences, family sciences, work sciences, and sociology. The project is aimed at creating a force of this diversity and to:

- The construction of an epistemological shared culture around a central theme (the social change):

- The creation of a new infrastructure of performative research; this is seen to be achieved with a better system of Human Resource administration for research.

This is seen to be achieved through creating a better HR management of research and support to research, and also of a favored status to the field, a plurality of methods and a concern to understand social logics. The doctoral formation takes place in around 9 different doctoral schools according to faculties of the concerned disciplines.

STEM:

The **Earth and Life Institute** (ELI) consists of five research poles. These five research poles are again organized into (inter) sectoral, inter-institute and institutional platforms. The five research poles are Agronomy (ELIA), Biodiversity (ELIB), Earth & climate (ELIC), Environmental sciences (ELIE) and Applied microbiology (ELIM). The institute, presided over by a currently male professor in Bioengineering, assembles more than 430 members, of which 50 are professors, more than 260 researchers and PhDs and around 120 technicians and administrative personnel. The governing organs are the council, the bureau and the management board of the institute.

The website of UCL states two main missions/objectives for ELI:

- Reducing the uncertainty: “Never has man perturbed our planet to this extent. Never have humans’ achievements been so great towards our earth. There are major challenges that concern and question our societies and our knowledge:

- an alteration without precedence in the functioning of the eco-systems and the bio-diversity;

- a global disturbance of the large cycles (water, carbon etc.) ;
- Climatic changes;
- A general intensification of the agricultural production systems;
- A galloping transformation in the use of space (deforestation, desertification, agricultural decline);
- Over exploitation of the natural resources (water, earth, air) ;
- A growing vulnerability of the populations in developing countries

- To understand the functioning of our planet and to contribute to sustainable development and solutions: Issued by a convergence between different social and scientific challenges, the ambition of the institute is to address the complexity of systems which are endangered at different spatial and temporal levels following three main axes:

1. The comprehension of processes (climatic, bio-geo-chemical, eco-systemic, populations and communities, global changes and its physics, evolution and biodiversity, antropies and biologies, tolerance and adaptation biotic and abiotic, human and environmental interaction)

2. Identification of drivers of evolution: quantification of pressures, indicators on state of spaces and the environmental risk monitoring, impact of degradations, numeric modelisation and scale transfers.

3. The elaboration of the mode of intervention, management and regulation of systems, spaces, environment, resources etc.

The complexity of interdependence of the challenges highlights the need for an *interdisciplinary approach* and of objects of research on many analytical levels.

The doctoral formation at ELI:
There are seven different doctoral schools:
- BEE - Biodiversity, ecology and evolution (EDIV en interne UCL)
- Territorial development
- ENVITAM - Sciences, technologies and environmental management
- Geography
- Plant science
- SCAIB – Agronomic Sciences and bioengineering
- UNITER - Sciences of the universe, of space, of the earth and the climate

2.3.3 Women and men pursuing their career within IACCHOS and ELI

The two institutes of SSH and STEM Garcia units only exist as of 2011. We therefore can only provide data as of 2011. Moreover, in the internal server count of personnel, to which we were given special permission to access, did not allow us to differentiate between numbers of full, part-time, associate part-time or associate fulltime professors. The same lack of differentiation was also the case for the distinction between postdocs, assistants part-or full time or ongoing Phds.

Table 7: SSH - IACCHOS Institute of Analysis of Contemporary Changes in History and of Society – Number of women and men in different academic and scientific grades from 2011 to 2013

	2011/SSH		2012/SSH		2013/SSH	
	Male	Female	Male	Female	Male	Female
N of full professors and associate professors (Full-time/part-time)	28	20	30	20	32	21
N of assistant professors (Full-time): postdocs, part-time or full time assistants and ongoing PhDs	7	21	7	23	9	20

Table 8 : STEM – ELI Earth and Life Institute – Number of women and men in different academic and scientific grades from 2011 to 2013

	2011		2012		2013	
	Male	Female	Male	Female	Male	Female
N of full professors and associate professors (Full-time/part-time)	29	9	30	9	30	9
N of assistant professors (Full-time/ parttime) postdocs, assistants full and part time, ongoing PhDs	14	14	11	15	15	14

What stands out in these two tables is that in ELI for STEM the differences in numbers for permanent B or A level positions are quite striking between the two sexes, whereby women represent a less than a third of the number of men associate or full professors. The situation for SSH women in IACCHOS is much better. However, in IACCHOS, the female number of postdocs, assistants and ongoing PhDs is higher than the males. In ELI the numbers for men and women researchers (non-permanent) are fairly similar.

It is however not possible to calculate the glass ceiling index for the two institutes based on the lack of exact differentiation between C, B and A grades.

Salaries fixed at general scale at UCL

Full professor	Depending on seniority between 40'341 and 61'611 Euros per annum
Associate professor	Depending on seniority between 34'560 to 54'160 Euros per annum
Assistant professor	Postdocs depending on type of funding between 2200 or 2400 Euros per month
Assistant with PhD	Docs depending on type of contract or funding between 2200 and 2400 Euros per month

Table 9 : Number of male and female ongoing PhDs and PhDs obtained in both IACCHOS and ELI

Institute	ELI/STEM	ELI/STEM	ELI/STEM	ELI/STEM	ELI/STEM	ELI/STEM	ELI/STEM	ELI
	2010	2010	2011	2011	2012	2012	2013	2013
	Male	Female	Male	Female	Male	Female	Male	Female
Number of Phds ongoing	522	241	543	253	531	263	507	261
Number of PhDs obtained	63	31	90	30	90	51	93	38

Institute	IACCHOS	IACCHOS	IACCHOS	IACCHOS	IACCHOS	IACCHOS	IACCHOS	IACCHOS
	2010	2010	2011	2011	2012	2012	2013	2013
	Male	Female	Male	Female	Male	Female	Male	Female
Number of Phds ongoing	486	422	475	438	504	425	455	399
Number of PhDs obtained	65	39	43	44	83	64	50	47

The ratio of female ongoing PhDs in ELI/STEM is about half of that of men. In IACCHOS numbers are more similar, with however still more men ongoing PhDs than women. The number of PhDs obtained vary from year to year for IACCHOS, but remain however more striking for the difference between women and men for ELI.

Doctorate at the institutes:

There are multiple possibilities of funding of a PhD: you can apply for and obtain a post of assistant, which will involve a certain percentage of teaching mandate, a subvention mandate by the institution itself (such as a FSR, Fonds Scientifique de Recherche) or can be applied for and granted by external national (F.R.S – FNRS) or international funds, private funds obtained in a project that is associated and completed with an enterprise, or own private funds from other work. Depending on the nature of the engagement, assistantship or contract, or funding, you will have a salary or a hold a scholarship or bursary, while with the latter you are exempt from taxation. Usually, if you have obtained a source of funding or if you are teaching assistant, you don't have any tuition fees for a PhD at UCL. The average duration of a PhD in both institutes and generally at UCL is 3 to 4 years, however exceptions are made in the case that additional funding can be obtained to prolong the doctoral duration.

2.4 Interview(s) with key player(s) at Governing organs, at central, STEM and SSH level.

Financial framework questions

For the support of the analysis of this report data and content, we have undertaken an interview in April 2015 with the **general administrator of UCL**, who is in charge of the financial management/distribution and policy implementation in financial matters. The interview content and extracts are given in detail in the section "Financial framework", first part.

Gender dimension and equality questions

In an interview with the vice-rector of the politics of personnel (in the framework of WP7 7.1 task) in February 2015, currently a female professor in sociology of organizations, she speaks about gender equality in scientific/academic careers and at UCL:

"It has evolved, we have come a long way, we have figures now and before we didnt now. There are more women who are employed today. And you have seen the figures that as many women are recruited as they present themselves for recruitment. And perhaps you would say do we need to fix certain percentage of posts for women. But we did come a long way, and in this sense you can ask The previous vice rector of personnel, because he was very active in this domain, tried systematically to ensure that there were women in the recruitment committees. I think this can avoid or introduce a viligance and avoid stereotypes and bias.

Family dimenison in evaluation of dossiers? Criteria and actual mandat?

In the criteria, no, because this is the private life of the person, this does not concern me, this is the privacy clause. But of course in terms of international mobility for instance, you are less mobile if you have children and if you have a spouse who works. And this is valid as much for women as for men, especially today. I think that in terms of academic processes, not only recruitment but also promotions and advancements in career, UCL has not taken enough into account the evolution of family. In this dimension.

Physical presence at meetings etc. is as difficult for men as is for women. We have stayed with the idea of the typical compostion of couples.

We want to avoid a quota system, because we have observed that it tends to turn out negatively for the very persons who are intended to benefit, paradoxically. Perhaps there is a way to do more, but perhaps you should ask Edithe Antoine. We in our project of the rectors' council we have the idea of having a responsible person in terms of gender.

Leaks in recruitment? Without doubt we need to consider this in UCL, because we need to be in phase with the society and its issues. But I do not all like the idea that we need more women in management, if we woudl have more women we would have attention towards the gender question, and this is not a very scientific argument. I think in terms of the leaky pipeline, I think that is also about the idea that young persons make of this job. Often they think I will not apply because this will hamper with my materinity or family life; And what made her change her mind (in a particular example given) is that she had some "witnesses" or narratives from women in academia at her university and this was valuable information for her. In fact our job is a very autonomous job, which also pressupposes a certan auto-determination and demands that we put upon ourselves.

I think that often we as researchers are faced with a lot of "black boxes" in terms of what kinds of services exist in our instiutionts and outside of institutions, so the young female researchers especially have a mis-informed or partial information about the job and the possibilities. So there is an aspect of auto-determination in this job that can reoritentate persons. Excellence in this sense is also orientated or dictated by the objectives and criteria that researchers themselves put for themselves in their work. The requests for co-research and project if often the most tempting thing, and one is tempted to accept something and then be completely overloaded with tasks. So the clarity about this job is not there, as often things are not discussed in the open. There is a kind of ideal that everybody strives to meet but which is not reality. Perfectionism and aut-censure is often at the order; I could have published in a better journal, I could have...

And of course apart from that there is the institutional demands, which pushes to looking for excellence, for publishing in the better journals, in excellence in teaching and this pushes to the question of being excellet in everything, and if possible to be excellent in the instutitional engagement and service. And this could scare young persons and if one is in a pipeline that they would try to escape outside to see otherwise."

In an interview held with the president of ELI/STEM, (in the framework of WP7, 7.1 task), a male professor in bioengineering, he speaks about the gender dimension in (recruitment of) academic careers in his institute:

"In your experience as president of institute and academic is the gender dimension something important in terms of recruitment processes (in terms of the committee, but also the candidates)?

I would say no in the two cases; which means that at the point of the committee I did not experience any effect of gender, because there is already so much of balance to be assured, that whether it is a woman or a man we would take them. There is already so much to balance in terms of criteria, scientific preoccupation and pedagogical preoccupation, the different aspects of discpline, the aspect articulation with the existing context and research, and the persons coming from abroad, the mix of all this is already quite weighty in our choices, so we will take the person no matter whether woman or man. If would then add a variable which is gender, it will become difficult to manage.

But even in terms of the criteria you named, how are they treated? The formulation of the workload for instance in the PIAC? Is there any differentiation made?

None, the same for everyone. It is certainly....one could hear that in the "Chercheurs qualifiés" are rules, if you have children you have right to more years. In the academic curriculum we would take into account of family context of the person in the evaluation process; but in terms of the work load, but taking into account maternity leaves. So if maternity gives an explanaition in any gaps. But, you see we don't take into account for men (laughs), but with the woman naturally yes. But, the majority of the women that I saw coming to the academic recruitments werent in family situations, do you know. Four were bachelors, and work better than men! (laughs).

Number of women presenting themselves and being recruited? *In the FNRS it is quite clear. But in the academic posts, but is there more than before, but not clearly so. My impression is that in our institute there are more women, when I think of a time when there werent many women around. And now there are more; but it remains marginal, without doubt. I remember the last recruitment there were two women in four interviewees, and we did not*

take any women finally, but we took a man, not because its man of course. They did arrive at the last stage. And in the last committee we did recruit a woman.

Leaky pipeline at recruitment itself, or before? *I think that already in the access itself it is difficult; for instance with the international mobility, for women in family situations it is evidently difficult. To get to the level of the high demands of today, to get to the high scientific productivity, whilst having a family, and being far from home, without family or friends' support. Unless you have a husband who is rooted, who participates in the project. But it is not habitual. I do know of, is not common."*

Institute's requirements for "good" academics, what is a good academic

In an interview with the president of IACCHOS (in the framework of WP7 7.1 task), this male professor of sociology speaks about what he thinks is important in a "good" candidate to engage for an academic post in IACCHOS:

"As president of IACCHOS criteria according to you a good academic?

In terms of the recruitment of academics, I would think immediately of three points, which are perhaps common to all the institute, but also of the university, is progressively of being attentive of these three facets, that we need to looking for a capacity of producing research, of teaching, and the question of the service to society and I with my cap of responsible of IACCHOS; in general a service to society and the service to the institutional collectivity. However, notably this part is measured more easily in terms of institutional service, but if you were part of some external associations etc, this part is often less visible. But it is important, especially in the SSH. As president I have a priority to be attentive to the question of research, if the committee was not. From the point of view of research, that in the committees mostly to be clear about certain things. And it has happened that I as president of the committee I would classify this person as first candidate, upon the criteria specifically research. And sometimes to add, but if you look at the global criteria, then we do not have the same classification. The deans are generally are concerned to have people capable of teaching in lectures of 400 persons, and to animate a seminar. So the roles are there, and it isnt me who choses these roles; if tomorrow I would be dean, and I dont have this aspiration nor the wish, then I would also look at the teaching aspect. So it is the function that creates the perspective through which we will evaluate the post. As president of the institute I have to take care that the research dimension has really been taken into account.

When you speak about research, what do you mean? *The whole of publications, research projects, their quality. Evidently the publications is an indication of what the researcher are capable of doing, but evidently a young researcher is not able to publish as much as experienced can do. So we have to project the profile of a person and see what the person is capabale of in future. And will the person be able to move on to other projects, because many researchers are concerned with valorising their PhD thesis, which they have to do, because it is important, but we have to see what they are capable of doing in future; and sometimes there are persons working after ten years on the same questions. Not only this, the capability of constructing research."*

Organizational and governing culture at UCL:

In a focus group held (in the framework for WP7, 7.1 task) with several professors and associate professors of both IACCHOS and ELI, the following point is related to a kind of UCL culture of organizing, which according to many interviews and to the structures of decision-making and organs can potentially be applicable to a governing culture too:

-**The multi-levels of the recruitment process**: a *process of "negotiation*" was often described, in which these above multi-criteria were weighed, challenged and articulated to the institutional requirements and needs. The difficulties of this process were addressed much more than in the interviews, where discussants had some key notions about this negotiation process. One female discussant spoke about how the final selection had to "mirror" this negotiation effort of the process and of committtee members. Another male discussant spoke about the importance of the "circumstantial" and how consensus and compromise often played out in this negotiation process. Often, he explained, committees also had to face a refusal or rejection by the higher instances, and thus would often take decisions in favor of candidates who would meet with the institutional requirements according to the higher instances, and less their own preferences. One discussant named what he though was an *attitude very own to the UCL as an institution*, perhaps enhanced by its Catholic past, of "*avoiding conflict*"; committee members tended to lean towards more powerful personas within the committee or without, in persons of deans, presidents of institute and rectors' concil, in order to avoid any conflict. So often decision making happens non-conflictually, in which "weaker" personas bent themselves to a dominant preference or tendency towards a given candidate."

2.5 Discussion/Conclusion

In terms of the different sections of this report, the managerial Framework points to a circular or multi-governing system or organization within the UCL. The different governing organs have a cross-referencing and cross-intervening power in terms of decision-making in general management; such as defining tasks and functions, setting research or teaching programs. However, it is noteworthy that the members of the direction (rector, vice-rectors and general administrator) are omnipresent in all governing organs and therefore have a lot of power in the different negotiation processes that take place in the different councils (scientific, academic and administrative) for all university concerns, including the articulation of research and teaching frameworks, budgeting and financial management. Negotiation, debating, deliberation are recurrent notions or concepts that appear in nearly all descriptions, codes and regulations of university governance at all levels, especially in the governing organs and councils. There is moreover a discourse emerging in interviews about certain ways of doing things in a kind of UCL governing *culture*; concepts such as humanism and Christian foundations emerge in historical and narrative descriptions. "Avoiding conflict", indirect and roundabout governing, keeping silent rather than voicing can push through certain decisions in favor of stronger and more opinionated personas or group of persons, such as for example in recruitment or nomination processes of academic staff. There is an important number of commissions, committees and services in aid of decision-making authorities and councils: an idea of knowledge-and deliberation based decision-making springs to mind. These commissions, committees and services moreover have more significant numbers of female as well as male members from different sectors, externals or syndicates.

Although the Councils have representative members of the scientific and academic personnel and the different sectors, there is a definitely male dominated governance on all university concerns, except perhaps for the protection and prevention at work commissions and for the council of enterprise that is concerned with employee as well as employer interests. Otherwise, the percentage of women in the governing bodies does not exceed 20% for the general decision-making and 10% for the Institute level of governance. This becomes quite significant if we consider the functions of the different heads of sectors (deans, vice-

deans), the vice-rectors responsible for the sectors (of the six of which one female) and the presidents of institutes (two of 21). The first are key in setting the research, teaching and administrative frameworks of the three sectors (SSH, SSS, STEM), the second act as arbitrators in the case of conflicts and in the regulation or smooth running of sectors and the latter are significant in the managing of the careers and personal development of academic and scientific staff of their institutes. However, there is amongst the direction heads, such as the (female) vice-rector of politics of personnel the idea that having more women in management does not necessarily resolve or improve situations or conditions for women in scientific/academic careers. The discourse runs more in the direction of the 'nature of scientific/academic work', the individual capacities to meet with the challenges of the career, which are often described as 'being what they are' and 'having high demands', which seems conform to the supposed ideas or *illusio* of the profession.

For all that is Human Resource management many different services with a significant number of administrative and technical personnel, of which around 85% is female, is allocated and under the regulation by the governing organs. The Financial management is quite stringently governed with one main head, whose office is now renewed for further four years, with a distinct order of budgeting on the level of the whole university. Many calculations of financial budget are based upon precedence or previous year calculations and therefore have little changes programmed, so we can speak about a path dependency effect. However, once the budgets are distributed to the three sectors, the vice-rector of the sectors and sub-heads (Deans and vice-deans) and faculties seem to have some freedom as to how they allocate their budget within their units. However, what becomes clear is that there must exist a vast difference in the governing of budgets according to the sectors, given that the student pro-rata differs vastly between the three sectors, with SST getting the most student pro-rata budget, then SSS and lastly SSH. Both in research and in teaching the governing units are orientated towards becoming *entrepreneurs or business units*, which need to manage their own affairs, and increasingly get their own funds. Moreover, the "closed envelope" policy of financing received from public authorities puts universities into an invisible competition. There is also a great reliance on funding acquired by the personnel themselves, which makes up an important amount of UCL Financial resource for sustaining the localities, infrastructure etc. In terms of European large scale funded and nationally funded projects, there is a clear upper hand of male academics (professors and associate professors), who obtain these types of projects in both SSH/IACCHOS and less so in STEM/ELI for national projects. This difference in numbers is more striking in STEM. In terms of discerning the gender dimension in budgeting it is not easy to glean much information from the data we have managed to acquire or which were available to us. The discourse implies that the gender dimension is not taken much into consideration for budgeting plans.

On the policy level there is a coherence of discourses or ideas/images that emerge throughout the documents analyzed and also the interviews held with key governing actors. There is an emphasis on the following aspirations that UCL would want to meet with and which underpin the structural/mission-/budgeting reform propositions and actual changes that have occurred in recent years, roughly since 2004:

- *The need for international visibility*
- F*acilitating UCL's access to the great European or international networks of research*
- *reinforcing their engagement* in the three missions of the *university; teaching, research and service to society*.
- *openness to internal, external and international recruitment/ increasing UCL as an international employer*

- *reinforcing the pedagogical traditions* and ensuring that the *student is at the centre of his formation*; this is seen to be achieved with ICT (Information, Communication and Technology)
- *deliberately situating UCL in a new European space of higher Education*
- *multi-site and collaborative character* of university and *direct networking of multiple teams* in different regional institutions (sofar two): *fortifying the french-speaking Wallonie-Bruxelles*
- *multiplying the possibilities of interdisciplinary work/interdisciplinary institutes IACCHOS and ELI*
- *presence of foreign researchers* (doctorates and post-doctorates), to contribute in a *wider range* of researchers and to attract students
- *increasing investment (social, cultural, political and economic)*
- *Increasing external partners : political and economic*

Gender and equality level:
- *Gender dimension : individual conditions, situations and will of academics/scientifics women and men matter, nature of work matters rather than bias or discrimination per se in governance: structures are not at fault*
- *Gender equality : Action program without action sofar, but rather mapping tasks*
- *Protection and prevention at work*
- *Work time balance*

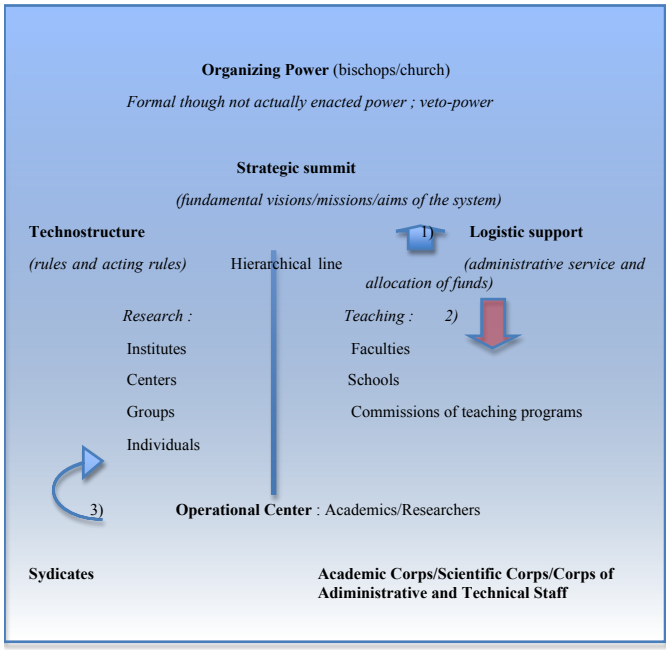
On the institute level:
- *Interdisciplinary research and collaboration*
- *International and European funding*
- *Local embeddedness and regional engagement*
- *Sustainable development and change*
- *Understanding complexity in society and natural and technical environment*
- *Gender: work/life balance*
- *Good academic: three pillars/missions of university (research, teaching, university engagement)*
- *Service to society*
- *Increased needs for individual funds*

In terms of administration, organizing and HR services:
- *reinforcing professionalization*,
- a *harmonization of practices*,
- a *coherence of the whole and a dynamic of sharing knowledge and experience*s
- *providing support to the central management for decision-making*

In terms of budgeting or financial management:
- *closed envelop and competition between institutions*
- *attractivity to students/attracting students*
- *autonomy of sectors and institutes*
- *spin-off firms*
- *no mention of gender dimension*

If we take into account the **discursive ideas and orientations** that emerge in both policy documents as well as interview material, and take into account the **structural forms of**

governing, both on formal and informal levels, then a picture emerges of the UCL as an organization that may be described as a classic *professional bureaucracy*, as could be referred to by Mintzberg (1982) in his model of structures and dynamics of organizations. He models the different types of organizational structures according to what he sees is the primary problem undertaken by organizations of organizing work. For UCL, what can be remarked is a complexity of structure with many layers and interactions of parallel hierarchicial levels of governance, with three different thematic strands of governance, which are teaching, research and technical and administrative management. There is an emphasis on precedence and path dependency. There is moreover a more formalized management process and a more informal management process, which emerges in a kind of local culture of negotiation, deliberation and cross-referencing of all governing units, and the research and academic individuals within this hyper-complex system. This also means an increase in meetings, council deliberations that one has to attend in order to « stay in the game ». The tendencies, which point to an ever increasing professional bureacracy can be portrayed as follows, inspired by Mintzberg's typology in the UCL case for the different units of organizing work:



The professional bureaucratic structure shows 1) a *centralization on the level of support* of administrative and technical services in favor of the central management. The policies and structures show that at UCL the logistic support is increasingly *centralized to cater to the strategic summit,* in other words to central management. Services, comissions and HR that aid central management decision-making. At the same time, there is 2) a *de-centralization of logistic support toward the two pillars of the hierarchical lin*e, research and teaching. This means that increasingly institutes, centers, faculties and schools have less logistic personnel ,

infrastructure and financial resources for their logistics in their units, and the individuals in the operational center, the academics and researchers, have less financial ressources at their disposal for logistics and for research and teaching. The other side of this coin is that they are given a relative autonomy in the structuring of research or teaching and of managing their ressources and of governing their own units. Within this kind of schema however, the outcome of this is that 3) increasingly the *individuals have to cater for themselves* in this complex bureaucratic system, as much operating in an informal and negotiating way, in order to A) manage and administer to their work and B) in order to advance in their careers. An important aspect for both A) and B) for individuals is therefore to cope with additional work apart from the high demands of research production/publication/collaboration, of teaching, and of also managing technically and administratively their own work. They need to know how things are done, but more importantly they need to know persons who are capabale of helping them either in terms of career advancement, or of supplying logistics for your work. There is therefore an significance of the creation of networks and of groups of persons in your environment available to you, to which you can apply to. Moreover, often at UCL, application for things is done in multiple pathways ; you can apply for either logistics, conflict resolution or for career advancement by going upwards unit by unit through the hierarchical line, or often people skip hierarchical units and apply for concerns directly to vice-rectors (perhaps in favor of your disciplinary or personal cause) or to general adminstrators and rectors. So there is a culture of hierarchical equality ; whilst maintaining a simultaneous reverent respect for current governing authorities ; a consensus by keeping quite or an opposition by applying quietly to other governing units ; by negotiating processes. These ways of organizing work could lean upon the historical Christian and Humanistic precepts of UCL. Individual actors also speak about a conflict-avoiding or indirect culture ; often demands or claims are not favorably looked upon if too direct. Respectively the Syndicates have a rather weaker power in the organigram. The three corps usually apply to and defend their own group interests (researchers, academics and admin and technical staff) and do not link causes.

If we analyze the *gender dimension in a professional burocracy,* it can be clearly said that there is an important glass ceiling exising at UCL. A professional bureaucracy of this kind of constellation can point to an ever increasing workload transferred to individuals, which neccessitates high demands of institutional engagement, not only in terms of political or governing involvement of individuals alongside their main work of research and teaching, but also an important increase in logistic, governance and administrative tasks, and of finding own funds, which research centres and faculties are not able to supply in sufficient amounts. There is a form of entrepreneurship required on unit-and individual level, without adhereing to managerialism. Parallely to this we can count in the effects of the university as a *greedy institution* (Coser, 1974; Grant et al., 2000; Hendrickson et al., 2011; del Rio Carral, Fusulier, 2014) in that research and teaching demands are today increasing in complexity and availability of the researcher/academic ; in 2012 the rector of UCL remarked in the constituion of the university that the researcher/academic needs to be *entirely invested* in his work. Women (and men) therefore not only have to meet high demands in research/teaching, but **in addition** also adhere to an important *institutional investment and presence* in terms of integrating into a hyper-complex system of bureaucracy and institutional culture. Moroever, this type of organization requires a significant *actual physical presence of individuals*, because decisions are made in meetings, deliberations and through a heady process of negotiation. There seems to be an increasing requirement of « omnipresence » in all three pillars, of which each pillar has increased in levels, demands

and complexity of required personal engagement. It can be argued that this can represent important issues to work/life conciliation or balance or having a family life, and that wanting to climb the career ladder also means important choices and pressures in terms of personal life. It is noteworthy that the two highest posts attained by women at UCL today (vice-rector and general adminstrator), and some other heads of units (presidents of institutes or deans) have profiles of women without children, sometimes not being in a couple. It would be therefore interesting, beyond a mere tracing of glass ceilings and leaky pipelines at UCL to research the type of profiles that women and men in mangagement and other posts have currently, to see whether certain types emerge as recurrent and more favorable to integration in the local culture and structures of organization, but less favorable to family or private life.

3. RADBOUD UNIVERSITY, NIJMEGEN, THE NETHERLANDS

Authors: Yvonne Benschop, Marieke van den Brink, Laura Berger

3.1 Data Collection

Information on the data collection process

Did you obtain all the requested data:	**Yes**	**No**	**If no, please describe how you obtained the data:**
• on a national level	x		
• on the institutional level	x		
• on the department level	x		
Was the requested data publicly available and transparent?			
• on a national level	x		
• on the institutional level		x	
• on the department level		xx	
Was the data available analysed by sex?			
• on a national level		n.a.	
• on the institutional level		n.a.	
• on the department level	x		
Did you meet any resistance while obtaining the data?	**Yes**	**No**	**If yes, please describe:**
• on a national level		x	
• on the institutional level		x	
• on the department level		x	
Did the 'status' (position) of the researcher within the institution/academia matter to obtain the data?			
• on a national level		x	
• on the institutional level		x	
• on the department level		x	

Information on university governance and financial management (e.g. the strategic plan 2015-2020, mission document, annual reports) were taken from the general website and the intranet of the university. Most of these data are publically available.

Information on governance and financial management of the IMR (*Institute for Management Research – SSH*) and IMAPP (*Institute for Mathematics, Astrophysics, and Particle Physics – STEM*) were taken from the general websites and the intranets of these institutes (e.g. concept strategic plan IMR, concept budget IMAPP, annual reports, research reports). Most of these data are publically available.

Data on the personnel pool of the IMR and IMAPP were provided by the respective personnel departments in the form of excel sheets.

Data on project grants and points of the IMR and IMAPP were provided by the respective financial and departments in the form of excel sheets.

3.2 Radboud University: Organizational structure, management and financial framework, and potential gender biases

3.2.1 Introduction to the Radboud University and its history

Gender equality measures

Gender equality measures in science on national level	Yes	Partly	No
Equal treatment legislation	x		
Commitment to gender mainstreaming	x		
Commitment to gender budgeting			x
Publication of sex-disaggregated statistics	x		
Development of gender quality targets/bench marks	x		
Gender balance targets in public committees			x
Women and science unit in the ministry of education/science		x	
National committee on women and science			x
National centre on women and science			x
Gender equality measures in science on institutional level	**Yes**	**Partly**	**No**
Gender equality plan	x		
Gender balance targets on university committees			x
Gender quota on university committees			x
Gender/women studies and research	x		
Programmes on women and science, special funding available	x		

History of the Radboud University

As far back as 1656 Nijmegen boasted a university that offered lectures in law, theology, philosophy, medicine and other subjects. Unfortunately, it was forced to close its doors in 1679 due to lack of funds.

Radboud University Nijmegen was established on 17 October 1923 under the name Catholic University Nijmegen. It had three Faculties – Theology, Arts & Philosophy and Law – and started out with a total of 32 professors and 189 students. With their own university, Dutch Catholics sought to promote the emancipation of Roman Catholics in the Netherlands, who at that time were strongly underrepresented in public administration, the legal profession, medicine and other sectors. The Radboud Foundation was the body behind this initiative, and they financed the university with collected funds from the Catholic community. It was not until the late 1960s that the university was fully funded by the Dutch government.

The name Radboud comes from a bishop who devoted the majority of his life to science and applied his knowledge to benefit others. He consequently became a patron of Roman Catholic higher education. The Catholic heritage means that Radboud University is rooted in an old but strong tradition of research, teaching and learning. In accordance with this tradition, it is open-minded about the relationship between science, society and meaning.

In 1949, the university acquired the country estate of Heyendael, where it built the Faculty of Medical Sciences and the university hospital, and about five years later, the newly established Faculty of Natural Sciences. By the late 1980s, all faculties were located at Heyendael, which had become home to a true campus university close to the city centre.

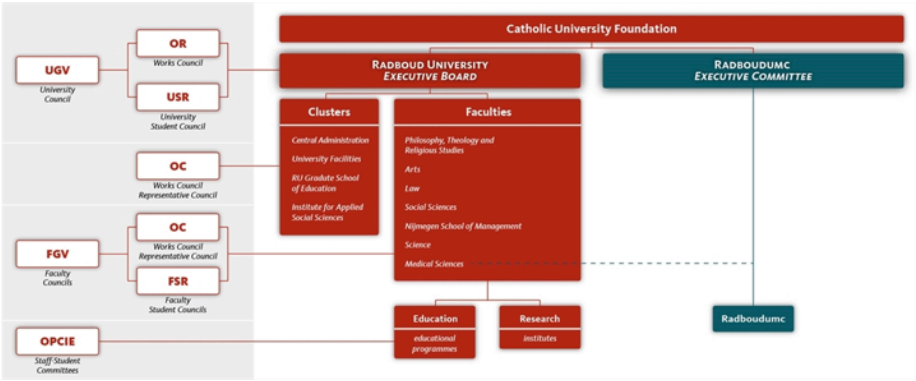
Today, Radboud University is a broad, internationally oriented university that aspires to be one of the best in Europe. Together with the academic hospital Radboudumc, we have created an intellectual environment that inspires and challenges our students and staff so that they can extend the scope of academic disciplines and benefit society. In 2013, there are 8 faculties – Philosophy, Theology & Religious Studies, Law, Arts, Medical Sciences, Science, Social Sciences, Nijmegen School of Management, and the special faculty of Theology. There are 19.000 students and 5000 staff members. (Sources: website and mission statement)

3.2.2 Managerial framework

Management structure and practices

Governance

In the chart below you find the organogram of the Radboud University's governance structure.



Source: http://www.ru.nl/english/about-us/organisation/organogram/

The Board of the Catholic University Foundation supervises and advises the Executive Board of the Radboud University and the Board of Directors of the Radboud university medical center. Composition: chair (m), vice-chair (w), members (2 women, 3 men). Appointment procedure: Members are not reappointed as a matter of course. The SKU Board regards a diversity of expertise among its members to be essential. The profile description is publicly accessible and published on the websites of Radboud University and the Radboud University Medical Centre. The appointment of SKU Board members falls under the authority of the Bishops' Conference of the Netherlands, although the SKU Board is entitled to nominate candidates. Regulations have been drawn up for the appointment and selection of the SKU Board members. The list of nominees is drawn up in as transparent a fashion as possible, by placing an advertisement and often with the assistance of an external agency. The governing bodies of Radboud University and the Radboud University Medical Centre, together with their advisory councils, are given the opportunity to make suggestions for potential candidates. Before a candidate is nominated for appointment by the Bishops' Conference, the SKU Board meets to discuss the nomination with the Executive Board and the Executive Committee.

Executive Board (College van Bestuur) has a statuary responsibility for the University, establishes the general policy for the seven faculties, and is the 'daily' governing board.

Composition: chair (m), rector magnificus (m), vice-chair (w), secretary (m). Appointment procedure: An appointment committee consists of the chair of the Executive Board, the Board of Governance, and employee and student representatives. They nominate people and decide upon who gets appointed member of the Executive Board.

Each faculty has its own faculty board that leads and governs the faculty, determining the course charted by the faculty as a whole, in consultation with each Faculty Council (see below). Each faculty board is led by a dean. Composition: Philosophy, theology and religion (m), Arts (w), Management (m), Medical (m), Science (m), Law (m), Social sciences (m). Appointment procedure: Deans are formally appointed by the Executive Board.

Furthermore, the Radboud University has a number of consultative bodies that regulate student and staff participation and input.

The University Council is a forum where students and staff discuss university-wide issues, such as general and strategic policy, with the Executive Board. The Council is made up of members of the Works Council and the University Student Council, supplemented by four members from the UMC Council (the Works Council of Radboud university medical centre. Current composition: 3 men, 1 woman). This council meets every three weeks.

The Works Council looks after the interests of university staff. The work of the Council is largely carried out within various University Council and other committees. In addition, there is a Representative Council for all parts of the University (faculties, service departments and business units). Every two years elections take place to appoint employees into the Works Council and Representative Councils. Current composition (May 2015 – next elections June 2015): 13 men, 7 women. Chair (w), vice-chair (m), secretary (w).

The University Student Council looks after the interests of the students at the University. The work of the USR is largely carried out within various University Council and other committees, as well as within its own taskforces. The University Student Council is made up of elected and appointed members. Current composition (May 2015): 7 men, 7 women. In addition to this council, there is also the Faculty Student Council. Every year elections take place for both councils.

Each faculty has a Faculty Council, where the Faculty Student Council and the Representative Council consult with the Faculty Board. Agenda items include education policy and faculty facilities. IMR Faculty Council composition: 5 men, 4 women. IMAPP Faculty Council composition: 8 men, 6 women.

Each study programme has a programme committee made up of students and lecturers. These committees monitor the quality of education and address issues such as course evaluations and the Education and Examination Regulations.

Finally, the two women's networks of the university meet with members of the Executive Board multiple times per year, both formally and informally, to discuss their activities and issues they feel need the attention of the Executive Board.

Financial management

In the table below, you find an overview of the budgeting process within the university's policy cycle, including the level of policy, the product, the key players involved and their decision making powers, and the policy cycle period. As the table shows, the budgeting decision is not purely technical, but other university groups than the financial department (CIF) are involved, of which most notably the central and decentral representative councils

(University Council and Faculty Councils) who need to approve and provide advice in different stages.

Policy cycle and budgeting process Radboud University

Time	Level	Product	Key players	Period
↓	University	Strategic Plan including financial long term perspective	Executive board (proposal + establishment) University Council (agreement) Governing board (approval)	4 years
	Faculty/ Institute	Policy plans including financial framework	Deans/directors (provisional and final establishment) Faculty Councils (agreement/advice) Executive board (approval)	4 years
	University	Policy letter including guide for annual budget, management contracts and annual reports of faculties/institutes	CIF* (proposal) University Council (agreement) Executive board (establishment)	Yearly
	Faculty/ Institute	Management contract including budget	CIF (advice) Deans/directors (establishment) Executive board (establishment and approval budget)	Yearly
	University	University budget	CIF (proposal) Executive board (establishment) Governing board (approval)	Yearly
	Faculty/ Institute	Annual report	Deans/directors (report + establishment) CIF (advice to Executive Board) Executive board (consult with dean + discharge)	Yearly
	University	University annual report	CIF (proposal) Executive board (establishment) Governing board (approval)	Yearly
	University	Evaluation strategic plan	?	4 years

* Department of Control, Information and Finances

The *department of Control, Information and Finances (CIF)* has a central role in the budgeting process of the organization. Composition: Director department (m), two secretaries (w+w). The CIF consists of two subdepartments, "*CIF central*" and *Central Financial Administration (CFA)*. The first is responsible for the policy cycle and supports the Executive Board in its financial policy. Composition: Secretary (w), tax specialist (m), concern employee(m), senior policy employee (m+m), director (m). The second subdepartment is responsible for support and control of the budgets and financial management of the decentral organization units such as faculties and institutes (e.g. debtors, creditors, ledger). A "shadow controller" within each unit supports the controllers from CFA.

The "Financial Handbook" is the guideline for decentral organizational units for setting up the financial planning (budget) and annual financial statements, and provides the rules for accountability of the units towards the Executive Board[65]. Topics regulated are governance of financial resources, administrative organization, taxes, insurances, and projects (external subsidy rules and internal guidelines). The annual financial statements reports information of the financial position and changes therein of the different faculties/institutes to the Executive Board. Besides these statements the organization units hand in a report every four months concerning the realisation of the budget.

Besides the CIF, other administrative units are concerned with the university's financial management. The *AUA (General University Activities)* governs central activities that transcend the individual organization units, such as personal activities (among which emancipation) and central stimulating activities. The Executive Board is responsible for the AUA and sets the yearly budget and financial report. The *concern administration* is responsible for the accountability of the university concerning state contributions, student tuition fees, and internal credit allocations to faculties and institutes, and is responsible for cash management and treasury tasks.

The Radboud University's visions and strategies

Overall vision, policy and strategic planning of university

The mission statement says that the Radboud University strives to become one of the top European universities. It sees itself as a 'student-oriented research university, balancing between scientific curiosity-driven questions and societal issues and value. Multi-disciplinarity, connection between different disciplines for both students and employees, and critical reflection is key. The geographical features of the campus are seen as a symbolic and pragmatic expression of the desired coherence of the university community of students and employees.

A new strategic plan (4-year cycle) was published in 2015: "*Radboud University towards 2020. An invitation to change perspective*". The plan discusses the vision and goals of the university for the coming five years, and provides measures for these goals. The strategic plan towards 2020 contains the strategic goals and different measures to reach those goals in several areas. An overview of these are in the table below.

[65] A scan of the contents page of the handbook does not reveal any special attention to gender and/or diversity.

Overview of strategic goal areas

Education	**Quality of education** **Yield/performance** **Internationalisation** **Inflow** **Excellent students** **Post-academic programs** **Preparation labour market** **ICT in education**
Research	**Quality of research** **PhD students and graduations** **Internationalisation** **Research profile**
Students	**Communication with students** **Supervision and counselling** **Internationalisation**
Employees	**Structure of the workforce** **Internationalisation** **Career and knowledge development of the workforce**
Alumni	**Customer Relationship Management system** **Communicating with and involving alumni in curriculum and career orientation**
Partners	**New valorisation organisation** **Post-academic education** **Relations with region**
Infrastructure	**Renovation campus** **Sustainability** **ICT improvement language-wise**

Besides high-quality research and education, the strategic plan includes two main pillars. One of the main pillars in the strategic plan is internationalisation. The second pillar is value for society ("valorisation", in Dutch).

The plan does not give concrete key performance indicators nor information on how the set goals will be monitored. The policy cycle does include yearly evaluations of the individual organization units such as faculties and institutes concerning policies and budgets, as well as university-level evaluations (which for a large part is an aggregate of the individual evaluations).

Ideological underpinnings?
The university was founded in 1923 by Dutch Catholics and financed by a Catholic fund (Radboud Foundation). It was not until the end of the 1960's that the university was entirely funded by the Dutch government. Especially in the vision and mission of the university, Christianity, and in particular Catholicism, is presented as the spiritual foundation of the university. This is said to inspire university values such as justice, stewardship, compassion, solidarity, and engagement. The catholic tradition steers the university's attention to not only providing good education and conducting good research but also to make a contribution to the public good (related to the pillar: value for society) as well as room for reflection and meaning-making for students.

Gender equality part of policy?
The strategic plan 2009-2013 devotes one paragraph to gender equality. It states:

"The number of women in the positions of full and associate professor, as well as in other higher management positions, is still small. The Radboud University will stay alert regarding this aspect and strives for substantial increase in the share of women in these ranks".

Gender equality is once explicitly referred to in the strategic plan 2015-2020. Under the heading of "our employees", one of the goals for 2020 is as follows:

"Specific actions to appoint and keep young talent – men and women with different nationalities – in top positions have led to a more diverse campus and a balanced distribution between men and women. For all positions at least 25% of the posts are filled by men and at least 25% by women, while the percentage of international staff is at least 25%"

The plan furthermore speaks of 'diversity' in general:

- "*A 'Mohrmann' programme, named after the first female professor at the University, has been established, supporting the appointment of more diverse professors and board members*"
- "*A diverse academic community has been formed: all staff feel equally involved*"

Some other focal points that relate to gender equality directly or indirectly:

- "*We have improved the sustainable employability of staff in all phases of their career by means of the Create your own career programme, which focuses on individual assessment and coaching. This also includes a family-friendly attitude*" (no further explanation)
- "*In order to be appointed as a professor, at least five years' experience is required elsewhere, preferably abroad"*

The Executive Board and Board of Deans approved a new HR agenda 2015-2020[66] (derived from the strategic plan) in April 2015, in which gender and diversity form an important pillar, and precarious workers are explicitly mentioned and targeted as well. In the table on the next page you find the five themes of the HR agenda and precarity/gender/diversity-related action points.

Policy making bottom up or top down? Formal process?
Policy making is formalized through the policy cycle (see also the section on financial management). The Executive Board sets up a strategic plan every four years, in which "*broad input from the university is anchored*"[67], advised upon by the representative councils and approved by the Governing Board. This strategic plan is the framework for the four year and policy plans of the individual organization units such as the faculties and research institutes. These policies are advised upon by the Faculty Councils. The University Council meets the Executive Board eight times a year to discuss the Board's plans and intentions. The Works Council, part of the University Council, is mostly an advisory organ, voting for agreement on decisions to be made is not customary[68]. Once a year drinks are organized for the Executive Board and University Council.

[66] Written by Personnel Department, in alignment with deans and directors, input from different units, expert departments, researchers.

[67] Information derived from the university intranet.

[68] Information derived from informal talk with a member of the works council.

Gender- and precarious worker related themes and action points HR Agenda 2015-2020

Leadership development	"*Better provision of feedback about career possibilities for young researchers. Because a career within academia is not possible for every scientist, supervisors/leaders shoulds provide clarity on this in an early stage. Supervisors of youn temporary personnel (like PhD students and postdocs) have an explicit responsibility in this respect*" Board members actively seek for women candidates for board and management positions
"Finding and binding employees"	"*The recruitment process can be enhanced by continuously asking: does the current way of recruiting and selecting lead to the best possible candidate? To professionalize this process further the Radboud University will offer diverse facilities the coming years*" Mapping how each faculty will achieve the goal of increasing the percentage of women professors and managers (resulting in universty average of 25% or higher) For scientific personnel from postdoc level on: hiring committees have at least 2 or 33% women; minimal 2 or 25% women candidates are invited for an interview (vice versa for men if shortage of men). Each committee reports on usage of this guideline. Periodical evaluation by Executive Board of compliance with guidelines. Information provision to application holders and personnel department on how to set up job application texts to enhance attractiveness and increase diversity in personnel structure Offering new facilities and stimulating the use of current facilities that better enable work-life combinaton throughout a career
Internationalisation	Support for families
Talent development employees	Digital career portal (Radboud Navigator) Implementation of Tenure Track system (on the basis of experiences with women tenure trackers in the Mohrmann Program) Stimulating internal and external mobility, specific measures for PhD students and postdocs
"Quality through diversity"	"*Diversity is not a goal in itself, but should contribute to quality of education and research, because multiple perspectives on the same issue can lead to a better solution. Diversity is therefore a theme of all. Through diversity policies the Radboud University is better able to find and bind talent and make use of unused present talent. We strive for a balanced composition of the personnel and connection of our community on all levels. This relates to employees with diverse (cultural) backrgounds and nationalities, gender and age. It is important that this theme and the effects of underrepresentation are continuously brought under the attntion of managers and supervisors*" A Mohrmann program is set up, aimed at stimulating diversity in broad sense and especially at the level of full professors Training of managers and board members in the effects of underrepresentation and awareness Rolemodels are explicitly used, such as in the to be continued mentoring program and other university events. Internal and external communication provide a more diverse representation of the organization Development of website with attention for best practices, relevant research and exchange of experiences "*Participation in (sociale) networks enhances involvement in our community and contributes to professional development. This is why the Radboud University supports diverse networks such as the Halkes (women's) Network, the Network for Women Professors and the network for young supportive staff*" Exit interviews are held with women leaving, as of the level of postdoc The Radboud University takes her societal responsibility with respect to the participation law (law regarding participation in the labor market of people with a disability)

Goal in academic international community? Rankings mentioned?
Internationalisation is one of the pillars of the vision and strategy of the university, both education- and research wise. No specific national or international rankings are mentioned in the vision document nor the strategic plan 2015-2020. The emphasis is on the position and reputation of the university in the European context.

3.2.3 Financial framework

Funding to the academic institution

The Radboud University is publicly funded, and receives money directly from the Ministry of Education, Science and Culture (1st money stream) and from student admission fees. There is a so-called 2nd money stream that is government funding distributed by the Dutch Research Councils on a competitive basis. The Netherlands Organisation for Scientific Research (NWO) is the largest funding body in this stream. The 3rd money stream refers to all additional revenues from public and private sources, including contract research from government (other than first stream), business organizations, non-profit organizations and funding from the European Union.

The division of public money over the universities is yearly decided by the government, and based on student dependent (such as number of students enrolled and diploma's) and student independent indicators (number of PhD's awarded indicators and research performance). This is a lump-sum budget (93% lump sum, 7% performance related), leaving university boards the authority to determine the internal allocation of this budget, including how much is allocated to teaching and research activities. Information over this financial system is publicly available, in the financial reports of the universities and on the websites of the university and the ministry.

With regard to third party funding, the total amount is publicly available in the annual report, but not the underlying itemizing of the funds from different sources.

System to allocate funding within the academic institution

The University board works with an allocation model to divide funds over faculties and support departments. For faculties, the division is based on teaching (42%), research (33%), contract agreements (25%). Success rates in the second and third money streams do not impact the division of first money stream funds.

The same allocation model applies to all faculties. The allocation model is partly transparent as far as it is based on performance indicators such as the number of enrolled students and graduations (teaching), and number of realized PhD's (research). Other parts of the allocation model are based on less transparent, historically originated decisions about basic facilities (for teaching) or strategic considerations (for research). Interestingly, about 33% of teaching funds and 70% of research funds can be considered as less transparent. The money allocated in this less transparent part has been relatively stable over the years, so faculties know what amount to expect. The third category of contract agreements is partly based on strategic choices of the university board (for instance funds to increase the number of staff-student contact hours) and the rest has to do with specific developments in the different disciplines (for instance additional funding for humanities and for physics and chemistry).

The relatively large part of non-transparent budget allocation is accepted because of the need for a stable budget. As for many alpha and gamma faculties personnel costs are the

largest part of the budget, this stability is needed to continue the contracts of the permanent and fixed term staff. Large budget fluctuations are avoided because they would have immediate consequences for staffing.

The budgeting process is organized in a policy cycle, starting with the 4 year University Strategic Plan, which is translated in a yearly policy letter from the financial department to the faculties. This letter is the basis for the faculty's budget proposal, that has to be approved by the university board. The overall university budget has to be approved by the Board of Governance (Stichtingsbestuur). Both the policy letter and the financial guidelines can be accessed through the intranet (see also 2.2.1 financial management).

Faculties have complete autonomy over their internal allocation. They have their own models to allocate the faculty money over the different sections within the faculty. For the SSH department IMR, the internal budget is based on teaching (39%), research (27%), and contract agreements (34%). Most of the money for the IMR comes from teaching. In IMR, 2/3 of the personnel is working on permanent contracts, and 1/3 has a fixed term position. For the STEM department IMAPP, the model consists of a fixed part, a performance related part (teaching: students enrolled and diploma's; research: premium for completed PhD's and fte's other money streams), and a third part (additional, policy, experimental and fundamental research). Most of the money of IMAPP comes from research. Less than 50% of staff has a permanent contract, the rest is working on project based, temporary contracts.

Gender

When it comes to gender in the budgeting context, at the university level there is no evidence of gender sensitive budgeting. The only references to gender can be found in the allocation of funds to the university diversity policy and to the Institute for Gender Studies.

Within the SSH faculty where IMR is located, there is some gender sensitive budgeting. There are two staff members hired in the nineties to integrate gender in the curriculum. Currently there are about 25 staff members working on gender issues in teaching and research (12 on permanent contracts). They are successful in attracting 2nd and 3rd stream research money, resulting in the employment of PhD's and postdocs for gender related projects. The research group Gender and Power in Politics and Management is getting a yearly budget of 10.000 euro as well.

At the STEM faculty where IMAPP is one of the departments, there is also some gender sensitive budgeting. There is some extra money (sector money from the ministry) for gender, specifically spent to attract women students. Additionally there are 2 tenure track positions (Joliot Curie) financed for women faculty, one of those works at IMAPP.

System of evaluation that affects the academic staff

Starting with IMR, performance based measures are formulated for teaching and research. For teaching, systematic course evaluations by students must result in scores of at least 3.5 on a five-point scale. For research, there is a point system to measure publication output. Furthermore, there are requirements for assistant professors and above to make active contributions to acquiring and conducting projects funded by indirect government and private sources. Finally, assistant professors and above are required to engage in the supervision of doctoral candidates: in four years, 1 doctoral candidate for assistant professors, 1.5 for associate professors, and 2 for professors. With regard to management, coordination and administrative tasks, there are requirements for international performance (building an international network and participating in international forums) and group

integration (ability and willingness to participate in the performance of the group/organization), but there are no strict measurements for those requirements.

Monitoring of progress occurs in yearly performance interviews with the head of department. All academic staff discuss the performance of last year. All performance indicators are discussed, but standardized measurements are only available for education (student evaluations) and research (output overviews). Each year an annual appraisal interview takes place and if employees function normally, they receive a periodic raise (+/- 100 Euro) until they reach the top of the scale.

Apart from the regular yearly salary increase, there is no incentive based wage system. Incidentally, people are awarded one-time bonuses or salary increase for exceptional performances (e.g. for prestigious research grants).

There are two ways to make promotion within IMR. The regular promotional system is a vacancy-based system and applies to structural formative positions. This means that there has to be a vacant position that needs to be advertised publicly. Internal and external candidates can apply, criteria are in line with the above mentioned performance measures (teaching, research, management/coordination/admin). The second route is an internal promotion to associate or full professor, based on exceptional performance. This route creates the opportunity for talented employees to be granted a 5 year temporary appointment as associate professor or professor. A proposal to appoint an employee to associate professor by personal title is made by the chair holder, by means of a reasoned and substantiated written request. The proposal then needs to be approved by the department chair concerned and submitted to the dean. The dean seeks (written) advice about the proposal from the faculty's advisory committee (1 f, 4 m) for appointing associate professors by personal title. This route has clear admission criteria, agreements on targets to be reached during the appointment period, and fixed agreements about evaluation times and conditions (salary classification, supervision and coaching). In theory, this route is also possible for a promotion to full professor, but this involves not only the dean, but also the board of the university, and is progressively more difficult.

From September 2015, a new research performance measurement system will be operational in IMR. In general, demands for international publications in high quality journals and grants are increasing in the new system.

The glass ceiling index for IMR is 3,1 (27,3+18,8+38,4/27,3).

At IMAPP, standardized performance measures for academic personnel other than the standardized University Job Classification system do not exist due to extensive differences between the disciplines in publication culture. Performance measurements systems are seen as too vulnerable and political to count as an effective measurement of academic quality. The national University Job Classification system provides guidelines to classify and categorize jobs. It comprises a description of jobs and job levels, and shows how the various positions at a university relate to each other. The job descriptions are based on core activities (in the three core areas of teaching, research and organization) and results that have to be achieved.

The only performance criteria that have been specified at IMAPP are selection criteria, tenure track criteria, and the promotion criteria to associate professor.

Similar to IMR, monitoring of progress occurs in yearly performance interviews with the head of department. All academic staff discuss the performance of last year with their supervisor.

If employees function normally, they receive a periodic raise (+/- 100 Euro) until they reach the top of the scale.

At IMAPP, there is no incentive based wage system. Incidentally, people are awarded one-time bonuses (e.g. for organizational citizenship), a salary increase for exceptional performances (one periodic raise), or go to a permanent position faster from their tenure track.

The promotion system is also similar to IMR with two different routes. The first, vacancy based system applies to structural formative positions. This means that there has to be a vacant position that needs to be advertised publicly. Internal and external candidates can apply. The guidelines are documented in a policy report for the faculty that contains information about the composition of selection committees (1 f required), the requirements for the permanent position following the tenure track and the requirements for promotion to associate professor. Alternatively, a personal route is possible as a career step for a very good assistant professor to be promoted to associate professor. The director of the institute proposes this promotion to the faculty board, and an appointment advisory committee assesses if the candidate meets the criteria for research, teaching and organization for associate professor. In theory, this route is also possible for a promotion to full professor, but this involves not only the board of the faculty but also the board of the university, and is progressively more difficult.

The glass ceiling index for IMAPP is 1,5 (13 + 7 + 0/ 13). Please note that these figures are based on a very small number of 2 female professors, and one has left since. Furthermore, it should be noted that the STEM field has a disproportionate amount of professors in the staff, which influences this index.

3.2.4 Interviews with key players on institutional level

We interviewed the head of the financial department of the university (CIF). He explained us how the university was getting funded and how the financial resources were distributed over the seven faculties. The money stemming from the Minster of Education, the so called 'first stream' money, has a teaching, research and contract component. This is a lump-sum budget, (93% lump sum, 7% performance related), leaving the university boards the authority to determine the internal allocation of this budget, including how much is allocated to teach and research activities. According to the financial director, the majority of research and teaching budget that the faculties receive, is based on a rather fixed and stable amount. When we asked the financial director where this amount was based on, he answered:

I think we started off with the same amount for all the faculties in the past, but along the years, there have been alterations and changes. That resulted in a more uneven distribution among the different faculties. There is no further explanation or argumentation, it is just based on historical grounds. I cannot say more about it, it just took this form eventually.

If we zoom in on the budget for research, we see that this fixed, stable amount is much larger for the STEM and Medical faculties than for the Humanities and Social Sciences. The financial director argues that this is caused by the more expensive materials and equipment that are needed in the STEM and Medical faculty. Also, there is no budget for the Humanities to compensate the larger possibilities of getting Second and Third stream funding. According to the financial director, there is a large need for stability, and that is why deans of the SSH faculties hardly complain about these large differences in the allocation of the money. This

specific distribution model is not publically available on the intranet of the university. The director argues: “you cannot make everything available”.

Next to the fixed amount of the research budget, 15% of the budget is allocated on the basis of the faculties’ teaching load. According to the director, this is because the university values the link between teaching and research, and wants to secure that also faculties which a high teaching load will be able to do some research.

Another component of the research budget, is the number of PhD theses successfully defended. In the past, there was a difference between the amount of money that the universities received for theses defended in STEM and SSH fields. But recently, the Ministry of Education decided to equalize this amount.

Next to the money from the Ministry (first stream money), the financial director has observed that the money obtained from second and third stream funding has gained importance in the last ten years. A large part of the flexible staff is paid out of these funds. Second stream money (competitive funding from the National Science Foundation (NWO) and Royal Netherlands Academy of Arts and Sciences (KNAW) is important for research opportunities and the research reputation of the university. The university also has emphasized the money from third stream (such as European funds, consultancy) as valorization of research results is on the strategic agenda of the university. The extent in which faculties are successful in obtaining second or third stream money has no consequences for the distribution of the first stream money among the faculties.

Although gender is part of the new strategic plan of the university, the financial director could not give an overview of the financial resources that are allocated for gender equality policies at first. After some searching, it became clear that there is some money allocated to the central HR department for diversity policies in 2014-2018. In addition, there has also been allocated money to the Institute of Gender Studies, which is now part of the faculty of Social Sciences.

3.3 IMAPP AND IMR: DECISION MAKING BODIES, DECISION MAKING PROCESSES AND GENDER

3.3.1. Introduction to IMAPP and IMR and their location within the Radboud University

Research Institute for Mathematics, Astrophysics and Particle Physics (IMAPP)

The IMAPP is one of six research institutes located within the Faculty of Science and was established in 2005. The Faculty is headed by the faculty board including the dean (m), vice-dean of research (m), vice-dean of education (w), the director business operations (m), a student assessor (m), a secretary (m). IMAPP is headed by a director (professor of mathematics, m) and managing director (m) and consist of three sub-departments: *mathematics* focuses on three interdisciplinary themes, Mathematical Physics, Algebra & Topology and Applied Stochastics; *astrophysics* focuses on observational and theoretical research in the area of astronomy; and *high-energy physics* carries out and analyzes experiments in elementary particle physics at the smallest distance and the highest mass scales attainable. The directors and heads of these sub-departments are all men.

The Faculty has made a Strategic Plan 2012-2016 as a complement to the (previous) University Strategic Plan. The plans concern education, research, people, resources, and methods. Concrete key performance indicators are provided for each area. Besides the goal to strive for more women students, there is no mentioning of gender-related issues in the strategic plan.

Additional relevant information: In the beginning of 2015 the Faculty Board constructed a gender committee and gave them the assignment to come up with recommendations to increase the gender equality within the Faculty. Representatives of the different institutes were gathered under the supervision of the vice-dean of research. Two delegates from gender equality projects (EGERA/STAGES and GARCIA) were included as advisors. Over the course of a few months a report was written, which included ten concrete recommendations for achieving gender equality. These recommendations are currently (May 2015) in the process of being discussed by the Faculty Board.

The financial management of IMAPP is part of the Faculty as a whole and is therefore part of the larger policy cycle of the university. The department Finance and Control (FEZ) of the Faculty offers financial and economic (policy-related/advisory) support to the faculty board, institutes like IMAPP, project leaders, and departments. It is responsible for the policy cycle within the Faculty: making the yearly budget planning, periodical reports, annual financial statements, support for and monitoring the realization of financial goals, ledger. Composition: head (w), controller (w), employees (3 w, 2 m). The department provides these units with numbers and figures to be able to take financial decisions and be accountable towards the Faculty Board or Executive Board. The department consists of a team *Project control and a* team *Control & Reporting.* From both teams a member (both men) is included within IMAPP for support.

The faculty is obliged to make a budget plan each year (see policy cycle) and to evaluate the budget and spendings multiple times a year to the Executive Board. The annual report is publically available, as is the budget planning. For further information on the transparency of the financial management, see 2.3.2.

Institute for Management Research (IMR)

The IMR is the overarching research institute of the Faculty of Management Sciences (the educational institute is the Nijmegen School of Management). The Faculty is governed by the Faculty Board, which consists of the dean (m), vice-dean of research (recently appointed, w) and vice-dean of education (recently appointed, m). The vice-dean of research leads the IMR: the person in this position is responsible for the organization and coordination of research efforts within the institute and advises the dean on research policy. The vice-dean of research is responsible for allocating research time to the researchers, encouraging innovation, promoting coherence in research, promoting external collaboration, advising the dean on the use of research funding, and monitoring the quality of the research and the quality of the research training. The previous vice-dean of research was substituted by a woman professor as of May 2015, as he himself takes on the supervision and professionalization of the Doctoral School (see 3.2.1).

The Faculty Board proposes the appointment of a new (vice-)dean to the university's Executive Board, after which the Faculty Council advices the Executive Board on the composition of the faculty's deanery and the appointment of new (vice)deans. The Executive Board then decides upon the appointment.

The Scientific Advisory Committee (SAC) advises the Vice Dean of Research, by request or pro-actively, on strategic issues regarding the development of IMR including faculty research policy, external research assessments, and setting publication strategy. Moreover, the SAC has the task of evaluating the progress of doctoral candidates. This body is made up of representatives from each of the disciplines at the Nijmegen School of Management. Composition: chair (m), 4 men and 5 women (1 PhD), secretary (w).

Administratively, the IMR is supported primarily from the office of Internationalization, Communication and Research Support (ICR). ICR has a policy preparatory and advisory role, but is also involved in the execution of policies. Composition: head (m), management assistant (w), 11 women employees, 2 men employees. In addition, the Business Office provides support for the financial aspects of projects: it takes care of data with which the budget planning, annual financial statements, and periodical reports can be built, and facilitates project administration and financial information flows. The office is led by the faculty controller. Composition: head (m), 4 women employees and 3 men employees. Besides administrative support (especially the measurement and registration of research output and financial project management), the focus is increasingly on more strategic forms of support from the ICR: advice on grant applications, coaching and preparation of applications, information provision (website IMR, posters, etc.); production of working papers; PhD candidate activities (information, communication, meetings, training, etc.); extending international networks.

The Faculty Board is currently (May 2015) in the process of setting up a new strategic plan for the Faculty, following the end of the previous strategic plan (2011-2014) and changes in the composition of the Faculty Board. In the document 'onset for discussion about the strategic plan' directed at the Faculty Council, there is no mentioning of the terms 'gender', 'sex', 'diversity', or 'women', implying that the topic of gender equality is not a focal point of the strategic plan as yet. Concerning temporary contracts (i.e. precarity), the plan states that it wants to decrease the number of temporary contracts:

"New rules and Collective Labour Agreement arrangements come in, which strongly aim to decrease the ever increasing level of temporary, flexible, contracts in the university domain. Reduction of the flexible level in favor of an increase in permanent contracts implies a major challenge for perosonnel policies and business operations. An even sharper selection of quality in attracting new employees will have to be realized, as well as more mobility in the support"

Research-wise the faculty is striving for a more multidisciplinary approach to research, and does so concretely by facilitating and stimulating the establishment of research 'hotspots', called Multi-disciplinary Research Groups (MRGs). These groups are evaluated yearly, in consultation with the Scientific Advisory Committee.

The faculty is obliged to make a budget plan each year (see policy cycle) and to evaluate the budget and spendings multiple times a year to the Executive Board. The annual report is publically available, as is the budget planning. For further information on the transparency of the financial management, see 3.2.3.

See 3.3.2 and 3.3.3 for information on flexibility for alterations in allocation of money within the university. A large part of the university's allocations is fixed and based on historically determined allocation paths.

You can find an overview of IMR and IMAPP personnel 2010-2013 in appendix A.

3.3.2 Conditions for academic careers within IMAPP and IMR

Student-teacher ratio IMR & IMAPP

In the table below you find the student-teacher ratio of the IMR and IMAPP.

Student-teacher ratios IMR and IMAPP

2009-2010		2010-2011		2011-2012		2012-2013	
IMR	**IMAPP**	**IMR**	**IMAPP**	**IMR**	**IMAPP**	**IMR**	**IMAPP**
36.2	1.1	44.6	0.9	42.4	0.7	39.9	0.91

These numbers indicate that for instance in IMR in 2012-2013, there were 39.9 students for every FTE. The numbers imply that within IMAPP, for every student there is one staff member. The IMAPP has very few students, which is why the ratio is so high for IMAPP. This is in line with interviews in WP7 of students who said that contact with lecturers and professors was very informal. However, seeing these numbers we must keep in mind that not all staff members (e.g. postdocs) are allocated teaching tasks as the IMAPP is research focused, which is different in the IMR that is more teaching-focused.

Glass ceiling Index for IMR and IMAPP 2013 (see for remarks also 2.3.3)
IMAPP: 1.5
IMR: 3.1

Signs of double bind in area of service?

From the answers to the question about academic housework and (under)valued tasks employees need to perform, there did not seem to be a difference between men and women in number or nature of non-paid tasks. (See for further analysis the separate summary document of the WP4/6 questions on salary and academic housework).

PhD programs at IMAPP and IMR

PhD candidates are regarded as employees in the Netherlands, and so also within the Radboud University and the two institutes under study. They are paid, receive benefits, build up pension, and gain insurance through their appointments at the university. A specific salary scale exists for PhD candidates within the remuneration system of the university. Every year the salary increases, going from €2125 in the first year to €2717 in the fourth year.

IMAPP PhD program
IMAPP has no graduate, doctoral or PhD school. All PhD candidates are member of one of four national research schools:

- Experimental higher energy physics at OSAF (Research School Subatomic Physics)
- Theoretical higher energy physics at LOTN (National Research School for Theoretical Physics)
- Astronomy at NOVA (Netherlands Research School for Astronomy)
- Mathematics at WONDER (Mathematics Research School Netherlands, – coordinated by Radboud/IMAPP)

The website of the IMAPP and the broader Faculty of Science do provide PhD students with information on labour contracts, protocols and procedures, possibilities for after the PhD, a PhD body that works as an informal council within the faculty, and practical issues. The

website also links to the general Radboud University website concerning labour condition issues and general PhD procedures.

PhD students are employed by either the university/faculty or FOM (Foundation for Fundamental Research on Matter – part of the largest Dutch research Council NWO).

IMR PhD program
Since 2012 the IMR has started to construct and institutionalize its doctoral school. Before, PhD students were housed under one promoter, did not have much contact among themselves, and no activities were organized for them. The school is coordinated by a head of the doctoral school (a full professor of the institute). The goal of the doctoral school is to help PhD students in developing their career perspectives, improve their teaching and research skills, and enhance their international experience, through different instruments[69]. To heighten the performance of the external PhD students, the ambition is to integrate them more within the PhD doctoral school by requiring them to participate in the same obligatory passage points as internal PhD students[70]. The aim for the coming years is to further institutionalize the school throughout the whole research institute; lower the number of extensions and drop-outs and increase the annual PhD graduation number; and lower costs of, for instance, contract extensions. In addition to the doctoral school, a PhD council is currently[71] being established to increase the voice of PhD candidates in faculty decision-making. Finally, the institute is considering setting up a research master, which will be installed after the next accreditation in 2017/18.

PhD students under university contract are obliged to teach for 10% of their contract, 160 hours. PhD students that work at the IMR through a scholarship, coming from China or Indonesia for instance, are free from this obligation. All internal PhD students are paid, unless they have such scholarships. External PhD students are not paid.

Research projects, research funding, research points 2013

Below we discuss information available on externally granted research projects for both IMAPP and IMR. Information on amounts applied for and total number of applicants was not available.

Research projects and funding IMAPP
Below you find two tables: the first with an overview of all projects granted within the IMAPP in the years 2008-2014, and the second with an overview of all projects granted in 2013.

[69] PhD research days; annual best paper award (with monetary prize); monthly doctoral colloquium; doctoral officer; PhD guide for new PhD students; PhD induction days for new PhD students; newly established stipend to go abroad. Ambition is to provide more coaching in teaching; provide more methodological courses to enhance students' methodological innovativeness; provide courses for first-time PhD supervisors and supervisor intervision.

[70] Centralizing registration external PhD students; zero-hour contracts; annual performance conversations; plan for education and supervision; defense of research proposals after nine months.

[71] At the moment of writing, April/May 2015.

Overview type of project grants IMAPP, by sex and by position PI over 2008 – 2014 (n=98)

Type	Sex PI		Position PI			
	M	F	Full	Assoc	Assist	Postdoc
European	9	1	7	-	3	-
National	86	12	71	10	16	1
Local	1	-	1	-	-	-

From this first table it is evident that the majority of the IMAPP projects is funded by national resources, is led by male Principal Investigators, and has full professor Principal Investigators.

Total funding average: 314.013,54 Euro.
Total funding average women: 205.285,85 Euro; men: 330.412,81 Euro.
National funding average women: 182.645,79 Euro; men: 246.995,90 Euro.
European funding average women: 191.675,00 Euro (N=1!); men 1.121.872,22 Euro.

Overview type of project grants IMAPP, by sex and by position PI over 2013 (n=26)

Type	Sex PI		Position PI			
	M	F	Full	Assoc	Assist	Postdoc
European	4	-	2	-	2	-
National	19	3	13	3	6	-
Local	-	-	-	-	-	-

Looking at the year 2013 alone, we see again that the majority of Principal Investigators is male and full professor, and that the national resources are the largest external source of grants for the department. No local grants were gained (or recorded at least).

Total funding average: 316.688,08 Euro.
Total funding average women: 232.455,33 Euro; men: 214.841,57 Euro.
National funding average women: 232.455,33 Euro; men: 238.498,11 Euro.
European funding average women: 0 Euro; men 102.473,00 Euro.

Research projects and funding IMR
Below you find two tables: the first with an overview of all projects within the IMR started in the years 2008-2014, and the second with an overview of all projects started in 2013.

Overview type of project grants IMR, by sex and by position PI, starting dates as of 2008-2015 (n=34)

Type	Sex PI		Position PI				
	M	F	Full	Assoc	Assist	Postdoc	Other
European	9	3	9	3	-	-	-
National	11	7	10	6	2	-	-
Local	4	-	4	-	-	-	-
Internal	-	-	-	-	-	-	-

From the first table we can see that similar to the IMAPP, the majority of project grants come from national resources, although the ratio national-European (18-12) is much more equal than for IMAPP (98-10) in those same years - these numbers also show that the IMAPP gains much more grants than the IMR. The Principal Investigators of the IMR projects are for the large part male and full professors, though the ratio men-women is more equal than in IMAPP. Our data furthermore show that many of these projects were partly internally funded: 25 out of 34 projects started since 2008; of which all 4 locally funded projects; all 18 nationally funded projects; and 3 European funded projects. 15 men (out of 24) and 10 women (out of 10) received internal funding. Within IMR a matching system is used: for research funds gained externally, research funds are matched and distributed internally. These matching ratios differ for different types of projects.

Total funding average: 422,127.70 Euro.
Total funding average women: 405,147,35 Euro; men: 429,202.84 Euro.
External funding average: 344,947.02 Euro. External funding average women: 274,161.50 Euro; men: 374,440.99 Euro.
Internal funding average: 77,180.68 Euro. Internal funding average women: 130,985.85 Euro; men: 54,761.86 Euro.

These numbers above include 6 non-research projects, all gained by one man. If we take those out, we get the following numbers, which provide a different picture:

Total funding average: 371.597,19 Euro.
Total funding average women: 405,147,35 Euro; men: 352,958.21 Euro.
External funding average: 277.877,79 Euro. External funding average women: 274,161.50 Euro; men: 279,942.40 Euro.
Internal funding average: 93.719,39 Euro. Internal funding average women: 130,985.85 Euro; men:73,015.81 Euro.

These numbers show that although men receive slightly more external funding, women received more matching internal funding. This may be due to different matching mechanisms for different types of external project fundings.

Overview type of project grants IMR, by sex and by position PI, starting date in 2013 (n=6)

Type	Sex PI		Position PI				
	M	F	Full	Assoc	Assist	Postdoc	Other
European	2	-	1	-	-	-	1
National	1	2	3	-	-	-	-
Local	1	-	1	-	-	-	-
Internal	-	-	-	-	-	-	-

From this second table we see that of the 6 projects started in 2013, half were nationally funded, 2 were led by women; half by full professors (among which a woman).

Total funding average: 393,182.80 Euro.
Total funding average women: 251,778.95 Euro; men: 463,884.72 Euro.
External funding average: 339,235.41 Euro. External funding average women: 172,239.00 Euro; men: 422,733.61 Euro.

Internal funding average: 53,947.39 Euro. Internal funding average women: 79,539.95 Euro; men: 41,151.11 Euro.

Taking out 1 non-research project, gained by a man (part of 6 non-research projects):
Total funding average: 316,139.35 Euro.
Total funding average women: 251,778.95 Euro (N=3); men: 359.046,29 Euro (N=2).
External funding average: 251.402,49 Euro. External funding average women: 172,239.00 Euro; men: 304.178,15 Euro.
Internal funding average: 119.531,83 Euro. Internal funding average women: 79,539.95 Euro; men: 54.868,14 Euro.

Again we see that although men received more external funding (almost double), women gained more internally matched funding.

Research points

IMR
Below you find an overview of the research points of IMR personnel in 2013.

Overview research points IMR 2013 per sex and per position

Position	Gender	Points 2013	N	Average
Lecturer	M	45	4	11,25
	F	5	1	5,00
Total Lecturer		50	5	10,00
Full professor	M	555	15	37,00
	F	320	6	53,33
Total Full professor		875	21	41,67
Full professor on personal title	M	290	5	58,00
	F	170	3	56,67
Total Full Professor on personal title		460	8	57,50
Researcher	M	35	6	5,83
	F	0	4	0,00
Total Researcher		35	10	3,50
Postdoc	M	60	3	20,00
	F	75	3	25,00
Total Postdoc		135	6	22,50
PhD candidate	M	85	14	6,07
	F	75	23	3,26
Total PhD candidate		160	37	4,32
Assistant Professor	M	665	35	19,00
	F	355	19	18,68
Total Assistant Professor		1020	54	18,89
Associate professor	M	670	21	31,90
	F	170	7	24,29
Total Associate professor		840	28	30,00
Total		3575	169	21,15

Overall, the average of research points in the IMR in 2013 was 21.15. The average research points of women over all positions was 17.73. The average research points of men over all positions was 23.35. The table shows that the group with the highest average of research points are the men full professors on personal title (58), women full professors on personal title (65,67), and women full professors (53,33). The lowest average research points come from the group of women researchers (0), women PhD candidates (3.26), and women lecturers (5, but N=1). We thus see a gender and functional segregation concerning research points.

No data concerning research points are available from the IMAPP.

Salaries

No information is available on salaries and composition of salaries of the IMR and IMAPP. The university works with a salary system that divides the different research positions over different scales (see appendix B). These scales are fixed to certain positions, and after a positive evaluation during the yearly evaluation interviews, employees can go to a higher level within that scale. We have access to data on the scales in which IMAPP and IMR employees were positioned in 2013, but that does not show in what level within that scale employees were positioned.

Overview IMAPP salary scales 2013

Position	fulltime / parttime	salary-scale	M	F	Total
Full professor	fulltime	H1 (highest)	3	1	4
		H2	10	.	10
	parttime	H2	.	1	1
Postdoc	fulltime	10	17	2	19
		11	3	1	4
		12	1	.	1
	parttime	10	.	1	1
		11	1	.	1
PhD candidates	fulltime	10	.	.	.
		P	33	9	42
	parttime	10	1	.	1
		P	.	.	.
Assistant Professor	fulltime	11	2	.	2
		12	9	1	10
	parttime	12	1	.	1
		13	1	.	1
Associate Professor	fulltime	13	3	.	3
		14	4	.	4
			89	16	105

Leaving out that fact that there is a lower number of women, this table shows no remarkable differences between men and women in the different positions regarding their salary scales.

An overview of the IMR salary scales in 2013:

Overview IMR salary scales 2013

Position	Scale	December 2013		
		F	M	Total
PhD candidates	10	.	.	.
	P	31	18	49
Full professors	15	1	2	3
	16	.	.	.
	18	.	1	1
	H1	1	5	6
	H2	7	17	24
Other academic personnel (among which postdocs)	10	7	9	16
	11	5	8	13
	12	3	8	11
	13	.	.	.
	14	.	1	1
Assistant professors	10	2	5	7
	11	14	17	31
	12	7	14	21
	13	.	1	1
Associate professors	13	4	10	14
	14	2	12	14
		84	130	214

3.3.3 Interviews with key players at STEM and SSH level

The key players interviewed on the STEM and SSH level were the head of the financial department of the Science Faculty (of which IMAPP is a part), and the financial director of the IMR. Main focuses of these interviews were the funding of the departments and the allocation of funding within the departments. In terms of their vision on the universities' strategy or indicators of success, they referred us to formal documents as they argued that was not their business. Their main task was to make sure that the faculty and institute respectively, was financially healthy. In addition, we make use of interviews we held with key players in the institutes for WP7, to capture underlying discourses in the vision on indicators of success.

If we analyse the way the departments get funded, we observe that the budgeting system of the university as a whole is not completely transparent. In the IMR, the financial director argued – just as the financial director of the university – that it was not completely clear on which grounds the different faculties receive their yearly budget. He argues that most of is it fixed on "historical grounds", and there are only some elements that are dynamic (amount of student, (PhD) graduates).

No we never dig into the history of how the budget is allocated. That is also because we have the same situation in our own faculty. The majority of the way we allocate our budget to the different sub departments is also…Let's see it this way. The most important thing is stability. The heads of the department want to know what the budget is for the next year, as they need to know how much personnel they can hire. If we are going to make changes in the budget, hell will break loose.

We observe a strong need for financial stability. This also connects to the positions of precarious workers, mostly temporary teaching staff, assistant professors and postdocs. If the different sub-departments do not know how much they will receive a year in advance, they cannot hire or prolong the contracts of temporary workers. For the staff with a permanent position, a fluctuation in budgets would (only) have consequences in the longer term.

In the IMAPP, the budgeting process was explained by the financial director of the Stem Faculty. However, we never received the internal budget with the real figures, she just showed us a mock allocation model. This means that we don't know what the real differences in the allocation of the money are in that faculty. She did explain that they changed to another allocation model recently; one that was more geared to performance indicators.

If you are successful in doing research or teaching, then that has to be connected to the amount of money that you receive for that.

The discourse of excellence seems more present in the STEM department. For instance, this STEM faculty receives earmarked funding for top researchers.

Sometimes, the university understands that it is really someone renown, and they want to invest in that. We often have to invest great amounts of money in facilities. So it can be that they partly pay for that or that the pay a part of the professors salary. Or they pay two PhD students or an assistant professor so you can offer a nice package to the new professor.

More than 50 percent of the IMAPP budget is stemming from second and third stream money. In the past, the faculty rewarded scientists that had attracted second and third stream money, but they had to stop that policy as "we couldn't afford it any more".

In the IMR, the current discourse of the faculty board is that staff should increase the number of research projects funded by second or third money stream. This is considered important for the reputation of the institute (especially second stream money) but also for to maintain an employee teaching/research ratio of 60/40 on the longer term.

We have been catching up. We were not really geared towards attracting money in second and their money stream. But we're focusing on it now.

The department has made money available for support staff that helps faculty with the application process for grants. Incidentally, people are awarded one-time bonuses or salary increase for exceptional performances (e.g. for very prestigious research grants).

Despite the current focus on external funding to increase the research reputation, the IMR is preliminary a teaching focused department. This means that quality of teaching is considered important.

We have a teaching and a research program. And every staff member plays a role in that. And a good teacher should be valued just as much as an excellent researcher. I need a good teacher to make this all happening here. (key player IMR)

In terms of gender both institutes do allocate some small parts of the budget to gender-sensitive items such as a gender research group in IMR and measures to attract more women students in IMAPP. One of the key players argues that it often comes down to personal initiatives:

One of my assistant professors is pregnant now for the second time. And the last time, I made sure that she did not have to teach two months after she came back from her leave. So she could make sure that she covered her publication gap. I had to pay for her replacement. Someone gave me advice on that. This is a gender measures that I don't hear from other colleagues, they don't think about that, no.

3.4 Main conclusion

In this report we focused on the governance and financial management of the Radboud University at large and of the particular institutes of the Institute for Mathematics, Astrophysics, and Particle Physics (STEM) and the Institute for Management Research (SSH) in relation to gender.

At the university level attention is given to gender and broader diversity in the strategic plan and the HR agenda for the next five years. The strategic plan only speaks broadly of diversity and the intention to increase the (gender-based) diversity of full professors at the university. The diversity policy is mostly placed under the umbrella of HR, as the HR agenda is much more elaborate on the diversity/gender policies of the universities. Both plans speak more of diversity in a broad sense – including also international diversity - than of gender equality. Target figures are set for the coming years regarding women and men full professors, as well as several measures to be taken (e.g. tenure track system).

The composition of decision making bodies – Executive Board, Board of Governance, Financial departments, Faculty Boards, different works councils - are not always gender balanced but women are present in all of them. Decision making is done within the structure of the yearly university policy cycle. It is for a large part top-down, but structural room is built in for employee participation on both faculty and university level.

The budgeting system of the university as a whole is not completely transparent. A very small part of the budget does go into the general diversity policy. The same goes for the institutes' budgeting processes: part of the budgeting processes is not transparent, but both institutes do allocate some small parts of the budget to gender-sensitive items such as a gender research group in IMR and measures to attract more women students in IMAPP.

Regarding the conditions for an academic career we can conclude that the IMR is focused on the internal organisation and standardization of PhD candidates. The IMAPP is more outward looking, as it has no central doctoral school but allocates PhD candidates to national discipline-related doctoral schools. The student-staff ratios show the different orientations of the two institutes, with the IMR being education-focused and the IMAPP being research-focused. This is also reflected in the number of fixed-term contracts, which is one-third in the IMR and about half in the IMAPP (going for a large part to postdocs).

Within IMR (no data available from IMAPP) we noticed a gender and functional segregation concerning research points: full professors (men and women) earned the most points in 2013, whereas women early career academics earned the least. This decreases the latter group's chances of continuing in academia and climbing the academic ladder in comparison to their male counterparts.

The evaluation system is standardized through mandatory annual performance interviews. In these interviews no topics revolve around gender or discrimination.

The salary system is also standardized. For this reason, no remarkable differences regarding salary scales exist concerning men and women in same positions in the IMAPP (in 2013). We do not have information about differences between women and men within those scales.

Number of:	2010				2011				2012				2013			
	IMR		IMAPP		IMR		IMAPP		IMR		IMAPP		IMR		IMAPP	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
N professors (full)	31	9	10	1	31	8	9	1	35	1	12	2	32	10	13	2
N professors (associate)	20	5	7	-	20	4	7	-	21	6	6	-	24	6	7	-
N professors (assistant)	35	20	8	-	37	26	10	1	43	24	13	1	38	23	13	1
N PhD candidates	27	18	17	4	33	37	24	7	54	43	26	8	66	61	34	9
N PhD graduations	2	4	2	0	7	7	5	1	4	1	10	3	6	3	9	3
N Postdoc positions*	8	8	9	3	9	9	10	2	13	7	13	3	12	10	22	4
N adjunct positions – n.a.																
N research specialists and scientists - n .a.																
N seasonal/part-time teachers**																
N assistant professors on fixed term contract	1	1	2	-	5	6	5	1	14	7	6	1	14	7	5	-
N associate professors on fixed term contract***									1				2			
N postdocs on fixed term contracts	4	8	3	1	5	9	3	1	9	7	3	2	10	10	6	1
N full professors on fixed term contracts***	9	1			8	1			8	1			8	1		
N PhD candidates on parttime contract****							1				1				1	
N postdocs on parttime contract			3	2			3	1			1				1	1
N assistant professors on parttime contract			1				1				2				2	
N full professors on fulltime contract								1				1				1

* The 'postdoc' function as such does not exist at the university. For this reason, for the IMR we counted the numbers of researcher 3 and researcher 4.

** No data were available on seasonal lecturers, however, for WP6 we did interview three movers who had been seasonal lecturers in the IMR in the years 2010-2015.

*** We have no information available for the fixed term contracts of associate and full professors of the IMAPP. Number of postdocs on fixed terms contract also includes one senior researcher for IMAPP in 2012 and 2013.

**** We only have information on parttime/fulltime contracts for the IMAPP.

Number of:	2010		2011		2012		2013	
	IMR	IMAPP	IMR	IMAPP	IMR	IMAPP	IMR	IMAPP
N job openings C/D level	2 assistant prof 2 postdocs	1 assistant prof	4 assist prof 2 postdoc	2 assistant prof 1 postdoc	11 assistant prof	1 assistant prof 1 postdoc	5 assistant prof 1 postdoc	2 assistant or associate prof

Radboud University **Overview salary scales (increase per 1 jan 2015 = 2%)** **1 January 2015**

scale / level	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	H2	H1	P	SA
0	1.537	1.568	1.601	1.638	1.698	1.822	2.067	2.359	2.593	2.476	3.324	4.029	4.607	4.840	5.247	5.684	6.160	6.766	5.103	5.684	2.125	
1	1.601	1.638	1.638	1.669	1.773	1.874	2.125	2.476	2.717	2.593	3.449	4.144	4.727	4.956	5.393	5.838	6.357	6.981	5.247	5.838	2.476	
2	1.669	1.698	1.698	1.736	1.874	2.005	2.242	2.593	2.855	2.717	3.561	4.261	4.840	5.103	5.537	5.997	6.559	7.201	5.393	5.997	2.593	1.874
3	1.698	1.773	1.773	1.822	2.005	2.125	2.359	2.717	2.977	2.855	3.673	4.379	4.956	5.247	5.684	6.160	6.766	7.431	5.537	6.160	2.717	2.005
4	1.736	1.822	1.874	1.940	2.067	2.184	2.417	2.791	3.098	2.977	3.783	4.490	5.103	5.393	5.838	6.357	6.981	7.669	5.684	6.357		2.184
5	1.773	1.874	1.940	2.005	2.125	2.242	2.476	2.855	3.213	3.098	3.908	4.607	5.247	5.537	5.997	6.559	7.201	7.911	5.838	6.559		
6	1.822	1.940	2.005	2.067	2.184	2.300	2.532	2.914	3.324	3.213	4.029	4.727	5.393	5.684	6.160	6.766	7.431	8.163	5.997	6.766		
7		2.005	2.067	2.125	2.242	2.359	2.593	2.977	3.449	3.324	4.144	4.840	5.537	5.838	6.357	6.981	7.669	8.424	6.160	6.981		
8			2.125	2.184	2.300	2.417	2.654	3.042	3.561	3.449	4.261	4.956	5.608	5.997	6.559	7.201	7.911	8.693	6.357	7.201		
9			2.184	2.242	2.359	2.476	2.717	3.098		3.561	4.379	5.103		6.160	6.766	7.431	8.163	8.971	6.559	7.431		
10				2.300	2.417	2.532	2.791	3.151		3.673	4.490	5.171							6.766	7.669		
11										3.783	4.551								6.981	7.911		
12										3.908									7.201	8.163		
13																			7.431	8.424		
14																				8.693		
15																				8.971		
Function level matrix teaching and researching										Lecturer 4 Researcher 4	Lecturer 3 Researcher 3 Assistprof 2	Lecturer 2 Researcher 2 Assistprof 1	Lecturer 1 Researcher. 1 AssociateProf 2	AssociateProf 1			Dean 2	Dean 1	Full professor 2	Full professor 1	PhD candidate	Student assistent

Taken from file:///C:/Users/u056180/Downloads/salarisoverzicht_per_1_jan_2015_v2%20(2).pdf on 26 May 2015.

4. UNIVERSITY OF ICELAND, ICELAND

Authors: Finnborg S. Steinthorsdottir, Thamar M. Heijstra, Thorgerdur Einarsdottir, Gyda M. Petursdottir

4.1 Data collection

This report draws on empirical data collected at the University of Iceland and is based on multiple data collection method, or triangulation, which includes qualitative in-depth semi-structured interviews, statistical data and secondary data. The qualitative data consists of five semi-structured in-depth interviews with key players at the University of Iceland, four men and one woman. The interviews were both fact-finding interviews to acquire data that was not publicly available and to capture the process and the ideological underpinnings of the managerial and financial framework of the University of Iceland (UI). Data was collected in August to May 2015. The interviews lasted between 50 and 70 minutes and were conducted at the University of Iceland. The quantitative data presented in the research is based on statistical data from the University of Iceland and from the Icelandic National Research Fund. Much of the data was publicly available and other was requested from the UI central administration, the administration of the School of Social Sciences (SSH) and the administration of the School of Engineering and Natural Sciences (STEM). The secondary data used in the research consists of Icelandic legislation, University of Iceland legislations, a written history of the University of Iceland, policies and annual reports.

The data collection process was more difficult than expected. Most of the data was not publicly available, and the data that was available was often unclear. Some of the data was attained from experts in the central administration and at the academic schools, the staff was very helpful and did their best to help with the project. In addition, a lot of data was collected through the interviews, but often the interviewees did not have a clear answer but did their best to guide the researchers through this difficult complex and not so transparent system. Below in table 1 is further information on the data collection process, whether the data was publicly available and transparent, and the hindrances we met on the way.

Table 1. Information on the data collection process

Information on the data collection process:	Yes	No	If no, please describe how you obtained the data:
Did you obtain all the requested data:			
- on a national level?		x	Most information on the national level was available. Not all information regarding the Icelandic Research Fund was available.
- on the institutional level?	x		
- on the department level?		x	
Was the requested data publicly available and transparent?			
- on a national level?		x	Most information in the report on the national level was accessable, except the above mentioned information on the Icelandic Research Fund.
- on the institutional level?		x	A lot of information on the institutional level was obtained through inquiries to the central administration and through the interviews.
- on the department level?		x	A lot of information on the departmental level was obtained through inquiries to the central administration and through the interviews.
Was the data available analysed by sex?			
- on a national level?	x		
- on the institutional level?		x	Information on research points was not analysed by sex and information on academic research specialist/scholars/scientists was not available analysed by position.
- on the department level?	x		
	Yes	**No**	**If yes, please describe:**
Did you meet any resistance while obtaining the data?			
- on a national level?		x	
- on the institutional level?		x	
- on the department level?		x	
Did the 'status' (position) of the researcher within the institution/academia matter to obtain the data?	x		
- on a national level?		x	
- on the institutional level?	x		We found it easier to get information and data if a full professor asks for it than a PhD student.
- on the department level?	x		We found it easier to get information and data if a full professor asks for it than a PhD student.

4.2 The University of Iceland: Organizational structure, managerial and financial framework and potential gender biases

This part of the report is divided into four chapters. First up is an introduction to the University of Iceland and the institution's history. Second is the management structure of UI; its visions and strategies. Third, the financial framework of UI and fourth the themes, related to the UI financial framework, that derived from the interviews with key players.

4.2.1 The University of Iceland: Introduction and history

The University of Iceland, was founded in 1911, and is the oldest and largest higher education institution in Iceland. UI is a well-established public institution within Icelandic society that counts just over 330.000 inhabitants, and is seen as the country's 'National University'. The University is a comprehensive research and educational institution that is organized into central administration and five academic schools, with 25 faculties and four

interdisciplinary study lines. UI offers around 400 programmes for approximately 13.000 registered students, who enter free of charge with regard to tuition fees, but they do pay an annual student registration fee.

The university falls under the auspices of the Ministry of Education, Science and Culture. The following acts, in particular, cover higher education and the operation of UI: The Act on higher education institutions, no. 63/2006, and the Act on public higher education institution, no. 85/2008. For a long time UI was kept under strong governmental control, but since around 1990 UI and the Icelandic academic community started to gain more autonomy from the state government.[72] Below in table 2 is the filled-out checklist on gender equality measures in science on a national level.

The last major change that was made in the organisation of UI, was the merger of UI with the Iceland University of Education in 2008. At that time the University was reorganized from 11 faculties into the five academic schools with 25 faculties. In 2006 the University set itself the goal of becoming one of the top 100 universities ranked in the Shanghai Jiao Tong University list. UI at that time did not appear in any of the global university ranking lists. However, it wanted to make the effort in an attempt to attract more governmental financial means to the university, and to legitimate the position of the university within the country.[73] In order to reach that goal research related activities were prioritized. Despite the worldwide financial crisis in 2008, and the subsequent Icelandic state austerity measures and the exponential increase in the number of students, UI has been eager to keep alive the dream of becoming one of the 'Harvard's' of the world.

Table 2. Gender equality measures in science on a national level

Gender equality measures in science on national level	**Yes**	**Partly**	**No**
Equal treatment legislation	x		
Commitment to gender mainstreaming	x		
Commitment to gender budgeting	x		
Publication of sex-disaggregated statistics	x		
Development of gender equality targets/bench marks			x
Gender balance targets in public committees	x		
Gender/women and science unit in the ministry of education/science		x	
National committee on women and science			x
National centre on women and science			x
Gender equality measures in science on institutional level	**Yes**	**Partly**	**No**
Gender equality plan	x		
Gender balance targets on university committees	x		
Gender quotas on university committees	x		
Gender/women studies and research	x		
Programmes on women and science, special funding available			x

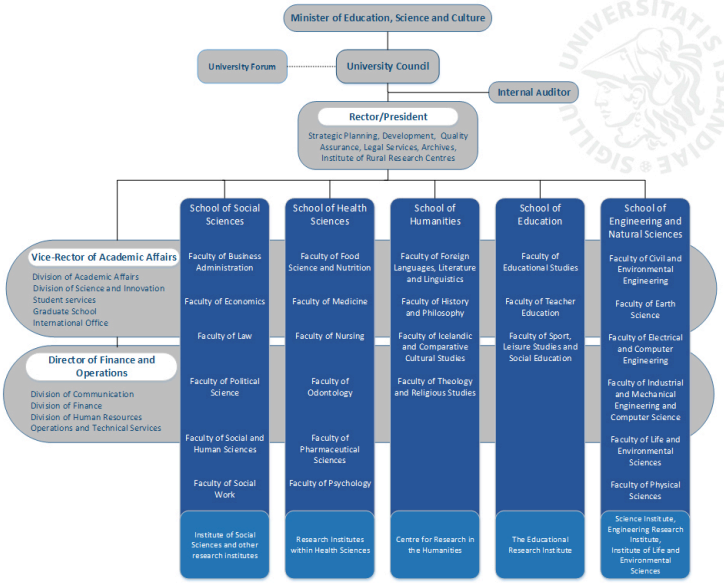
[72] Hálfdanarson, Matthíasdóttir and Guðmundsson, 2011.

[73] Ársælsson, 2011.

4.2.2 Management structure and practices and the University of Iceland's visions and strategies

Management structure and practices

The management structure of UI can be seen in picture no. 1 on the following page. The governance of the University of Iceland is in the hands of the University Council and the rector.[74]



Picture 1: Governance of University of Iceland[75]

The rector is the head of the administration of the university and the University council, the highest representative of the institution and the spokesperson of the university. The rector governs the university and is the decision making body over all affairs between the university council's meetings. The rector takes the initiative for the university council to make the university policy and is responsible for the implementation of the policy and for connections between national and international universities. The rector is responsible for, and has the supervision over, the entire university administration, that includes recruitment and financial affairs within individual schools and institutions. The rector is responsible for making operational and financial plans and that the university council approves them. The rector is appointed every five years by the Minister of Education, Science and Culture in accordance

[74] Regulation for the University of Iceland no. 569/2009.

[75] University of Iceland (n.d.). Structure: http://english.hi.is/university/structure

to the University Council's nomination following elections in the University community, provided that more than one applicant is eligible for office.[76]

The University Council allocates funds within the University, within the framework set by budgetary resources and regulations on the disposition of independent income, and supervises the management of the university, including accounting, handling of finances and cooperative agreements. The University Council conducts general supervision of the University, schools and institutes operations and is responsible for ensuring that the University operates in compliance with legislation and official edicts. The council makes regulations for the University, some that are based on the national legislation applicable to UI. The council is the decision making body, and its decisions are final. The University council is appointed according to the Act on public universities, no. 85/2008. The members of the University council are eleven: The rector, who is the chair of the council, three representatives from the university appointed by the University forum, two representatives appointed by the Student council of UI, two representatives appointed by the Minister of Education, Science and Culture and three representatives appointed by the former representatives of the University Council. The University council runs committees and among them six working committees: Finance committee, Quality committee, Equal rights committee, Academic affairs committee, Salaries consultation committee and Science committee. An internal auditor operates under the auspices of the University Council, in accordance with a formal statement of duties set by the University Council.[77]

The University administration operates under the authority of the rector and the University Council. The Central administration protects the overall interests of the university and attends to the university's collective concerns and communication with the authorities, on behalf of the Rector. The Central administration is split up into Academic affairs, the head is the Vice-rector; and Finance and operations, of which the director is the university's CEO. The CEO is responsible for, among other things, the financial control, budgets, accounting, salaries, procurement and scholarship funds. The CEO of the University is the head of the University council's finance committee; other members of the committee are the deans of the academic schools.[78]

The University forum is a collegial forum for university faculties and institution but does not have direct executive power or a mandate for administrative decisions. The University forum works towards the development and enhancement of the UI and forms and proposes a joint strategy for research and teaching at the university. It is expected that motions approved by the forum will inform the strategy that the University Council and the Rector shall navigate by. Members of the forum are the rector, heads of university faculties and additional faculty representatives from some university institutions, staff, administration, students and the Minister of Education, Science and Culture.[79]

The deans of the academic schools are appointed by the rector for a five-year term, in accordance with the University Council rules of procedure, and work under the rector's mandate. The dean of a school governs day-to-day operations and acts as its academic leader and spokesperson within and outside of the University. The dean of a school is

[76] Regulation for the University of Iceland no. 569/2009

[77] Regulation for the University of Iceland no. 569/2009

[78] Regulation for the University of Iceland no. 569/2009

[79] Regulation for the University of Iceland no. 569/2009

responsible for the implementation of University of Iceland's policy at the school level; unity and academic collaboration; relations with Icelandic and international partners; quality of teaching, research and services; administration and support services within the school; the finances and running of the school and institutes under its auspices; and human resources within the school.[80]

The faculty heads are appointed by the school dean for a two-year term, in accordance with a nomination determined at a faculty meeting. The faculty head answers to the school dean, and the dean is the faculty head's immediate superior. The head of a faculty is the academic leader of the faculty and is responsible, in consultation with the dean of the school, for formulation of faculty policy, organisation of study, quality of teaching and research, relations with collaborating partners and ensuring that the faculty and its units operate in conformity with the school's budget. The head of faculty shall sit on the school governing board, along with other faculty heads, student representatives and the school dean. An administrative committee, the faculty council, may be established. The faculty council may address all faculty matters, but does only have to power to make final decision on issues where the faculty meeting has delegated such powers to it. Between faculty meetings or faculty council meetings, the faculty head shall hold, on their behalf, the decision-making power in all faculty affairs.

Below in table 2 there is an overview of the overall gender composition of the decision making body.[81] The appointed Rector is a woman, and the vice-rector and the CEO of the University are men. Three men and two women are the head of the schools, and majority of the heads of faculties are men. Five men and six women sit on the University Council, and is that in line with the Act on Equal Status and Equal Rights of Women and Men no. 10/2008 that participation of women and men in public committees and boards has to be approximately equal (minimum 40%). That is tough not the case with all the University Council committees and commissions, in three out of six committees men are overrepresented. Furthermore, men serve as heads in five out of the six University councils committee.

Table 3. Gender composition of the decision making body[82]

Position	Male	Female	% men	%women
Rector		1	0%	100%
Vice-rector	1		100%	0%
CEO	1		100%	0%
University Council - members	5	6	45%	55%
University Council – substitute members	6	2	75%	25%
Heads of the University Councils committees and commissions	5	1	83%	17%
University Councils committees and commissions - members	23	14	62%	38%
Deans of Schools	3	2	60%	40%
Head of Faculties	17	8	68%	32%

The University of Iceland's vision and strategies

The University of Iceland works with a policy that has a timespan of 5 years. However, previous and future policies of the University of Iceland can be linked to each other through

[80] Regulation for the University of Iceland no. 569/2009

[81] Regulation for the University of Iceland no. 569/2009

[82] Data collected March 23rd 2015. On July 1st 2015 a new rector, a man, will be appointed.

resemblance. For instance the policy for 2011-2016, has also been referred to as the second leg of the 2006-2011 policy. With the arrival of a new rector in 2005 the University headed in new directions. In the latest policy it can be read that the overall vision of the University of Iceland is aimed at "*to strengthening the Icelandic community by achieving excellence in teaching, research, and innovation, increasing its ties with the business community and society, and fostering social responsibility and international collaboration*". The University intends to attain this goal by becoming one of the leading universities in the world.

The idea of obtaining a top 100 ranking was first presented in the 2006-2011 policy and at that time UI was not ranked at any of the global academic ranking lists. Barely two years later the world wide financial crisis and accompanying austerity measures and fiscal consolidations made it necessary to downplay the University's dream of obtaining a top-100 rank. This is why the 2011-2016 policy refers to the initial objective as "ambitious" and "long-term" and now sets itself the goal of "*becoming one of the leading universities in the world*", without referring to a specific place on the list.

Curiously, days before publicly presenting the 2011-2016 policy, it was announced that the UI had reached the top-300 of the Times Higher Education Supplement Ranking List. This achievement was a real motivator to try and become "one of the leading universities in the world", and it kept the dream of eventually obtaining a top-100 position alive.

Obtaining a position on one of the global academic ranking list however, was not the only objective of the institution; 'excellence' in all its various manifestations became the organizing principle of the academic institution's policy. As can be seen in the first quote above, students and staff of the academic institution are '*[…] determined to strengthen the Icelandic community by achieving excellence in teaching, research, and innovation […]*'. This aim can be said to be just as ambiguous as a top-100 position.

The 2011-2016 policy of UI is structured such that it contains 4 sub-policies that each revolves around a particular topic. The first sub-policy, which is presented as the most important one, is the policy on research and innovation. In order to monitor the progress made within this policy, 10 key performance indicators will be examined such as: the proportion of graduating doctoral students, the graduation rate of Master students, the annual number of publications in each school, the increase in income from competitive research funds, the number of interdisciplinary research projects that receive grants from competitive research funds, number of agreements with collaborators, number of patent applications and other exploitation project, and the number of postdoc researchers.

The second sub-policy is "teaching and learning", which is immediately linked to research: "*Teaching and research are inextricably linked at a research university*". The policy further refers to "excellence" in teaching and the aim is that students will become more actively involved in the decision making process. Progress in this field will be monitored through 14 key performance indicators among which the number of professors teaching first years undergraduates, second year retention rate in undergraduate studies, undergraduate graduation rate, permanent teacher/student ratio, number of teachers attending courses on teaching methods, the diversity of teaching methods used, number of students participating in teacher's research projects, number of student teaching assistants, proportion of satisfied students, number of students who study partly abroad, number of foreign students at UI, number of UI graduates that enter a top-100 university, proportion of graduates that are employed within 6 months of graduation.

The third sub-policy is on human resources and revolves around the welfare of students and teachers. The key performance indicators used are employee turnover, job satisfaction, new employees' evaluations, students' satisfaction rates and the proportion of academic employees with PhDs, proportion of participating employees in annual employee reviews, the average age of recently hired academic employees, the proportion of employees applying for continuing and lifelong education, the number of part-time teachers, and comparability of wages and employment terms.

The fourth sub-policy is on social and global responsibility and mentions that Iceland's premier educational institution has far reaching duties to domestic society, nature, culture and language. UI takes this responsibility through means of dynamic research and teaching. The progress of this responsibility is measured through the following key performance indicators; the sustainability of UI, the results of intertwining ethics in accordance to learning outcomes of courses and study programmes, the number of lectures, symposia and conferences at UI that are open to public, the number of interviews and articles in mass media by UI employees, the number of students in the UI Youth Programme and the number of questions and answers on the Icelandic Web of Science, which is operated by UI.

All the key performance measurements together indicate a clear emphasis on New Public Management tools within the 2011-2016 policy. What is more, while the policy mentions equality and diversity, it does not specifically mention gender equality or the equal rights policy of UI. The policymaking starts with a committee with representatives from all faculties and schools that drafts the policy, which is then reviewed by the academic and administrative staff. The following word cloud, picture 2, shows the words that most frequently appear within the policy, when the most frequent term mentioned in the policy: *University of Iceland* has been eliminated. The emphasis on research and teaching are clearly visible in the word cloud, while words such as quality, increase, excellence, innovation, effort, strength and goals, reveal and represent the University's ambition.

Picture 2: Word cloud of the University of Iceland 2011-2016 policy

4.2.3 Financial framework of the University of Iceland

In this chapter we will introduce how UI is funded, how the funding is allocated within the academic institution and the evaluation system of the academic staff.

Funding of the academic institution

UI is mainly financed with public funding, or approximately two-thirds of the institution's funding, which is based on teaching and research agreements. In addition the institution is funded by third party-funding, or approximately one-third of its funding, such as research funds, students registration fees and the University of Iceland Lottery which is owned by UI. The ministry of Education, Science and Culture estimates funding for teaching and research based on the Regulation on appropriations to universities no. 646/1999 and agreements with the universities based on The higher education act no. 63/2006. The universities in Iceland have full autonomy over the funding; the institutions receive one appropriation that the governing body distributes between teaching and research.[83]

About 2/3 of the state funding is based on a teaching agreement, which is based on a funding formula (*reiknilíkan*) for payments per full-time equivalent student (60ECTS credits per year). The formula is based on a classificatory system for the amount of funding the institution receives for a single full-time student depending on their discipline, seen below in table 3. From the amount in the funding formula there are two deductions: first, the revenue from the registration fees (mentioned below) and second, the calculated investment in the state's housing that the public universities make use of. The number of full-time equivalent students is based on the average number of full-time students and a prediction for the current year. The number of full-time students in the year 2015 is calculated, by means of the real number of students in 2012 (weight 20%), the real number of students in 2013 (weight 60%) and the prediction of the number of students in 2014 (weight 20%). The annual funding from the state for STEM students is 60-100% higher than the annual funding for SSH students. In addition the universities receive appropriation for graduated students: 150.000 ISK per bachelor graduated student; 50.000 ISK per diploma degree student; 100.000 ISK per masters and candidate student; and 1.000.000 ISK per doctoral student. The appropriation for 2015 is based on the average number of graduated students in the years 2012 and 2013.[84]

Table 4. The funding formula price category for full-time equivalent student by disciplines in UI for 2015[85]

Price category	Price in ISK	Price proportion
Social- and human sciences, theology. law and other comparable disciplines	611.000	1.0
Computer Science, mathematics and other comparable disciplines	958.000	1.6
Education and other comparable disciplines	916.000	1.5
Nursing and other comparable disciplines	1.149.000	1.9
Natural sciences, engineering and other comparable disciplines	1.200.000	2.0
Medicine	1.649.000	2.7
Odontology	2.654.000	4.3

[83] Regulation on appropriations to universities no. 646/1999

[84] The Icelandic Fiscal Budget for 2015.

[85] The Icelandic Fiscal Budget for 2015.

UI receives state appropriation for research based on agreements with the government. The newest agreement, from June 2011, is the agreement on funding the University of Iceland's Centennial fund for the years 2012-2020. The fund was established to strengthen research and innovation at UI. The objective of the fund is to reach the average OECD expenditure per student by 2016, and the Nordic countries average expenditure by 2020. Two-thirds of the funding will be governmental appropriations and one-third is third party funding attained by the UI. Appropriations to the fund are based on UI success on attracting third party funding.[86]

Third party funding to the University consists of research grants, contracts with the business community, registration fees, tuition fees for the Continuing Education, and funding by means of the University Lottery. Registration fees are pronounced in the Icelandic Fiscal Budget, for the year 2015; the annual fee is 75.000 ISK per student.[87] Funds generated from the University of Iceland Lottery are used for the construction of buildings, as UI does not receive state funding for the premises and they are therefore mainly financed with contributions from the Lottery. Other third party funding goes to the faculties or the research institutes that attained the funding. Tuition fees that are collected for the Continuing Education program go to that program, because the program is self-financed and does not get additional funding from the UI. UI projects are receiving grants from international and national competitive and non-competitive funds, there is a general lack of information publicly available on the amount of funding the research projects receive. The same applies to contracts with the business community, there is not much information available, but according to the interviews there are very few positions within the UI funded with such contracts.

System to allocate funding within the academic institution

At UI the finance committee distributes the state appropriation, but the third party funding goes directly to the faculty or research institute that attained the funding. According to one of our interviewees the public funding is allocated, roughly as follows: 10% to the central administration of the university, 12% to joint expenses, 68% to the five academic schools and 10% to the housing funding model.

Funding to the academic schools, and their faculties, is allocated according to a distribution formula (*deililíkan*). The formula is based on 'success' in teaching and research. Allocations in relation to teaching are based on the discipline of the full-time equivalent student, and UI tends to follow the proportional value of the price category for full-time equivalent student put forward in the above mentioned funding formula; in 2014 64% of the value. If a course is inter-disciplinary, then 8/10 of the allocation goes to the faculty that teaches the course and 2/10 goes to the faculty where the student is registered. Faculties can deviate from that rule, and form agreements between each other on the cost and the income for the course. From the interviews it becomes clear that this is not set in stone and that the funding formula can be tampered with by the finance committee, e.g. in the last couple of years the committee has raised the lowest price category by 2-3% and moved some disciplines to a higher price category. It is not transparent which disciplines get this special treatment within the allocation of funding.

[86] Agreement on teaching and research between University of Iceland and the Ministry of Education, Research and Culture 2012 – 2016, appendix 2.

[87] The Icelandic Fiscal Budget for 2015.

Allocations in relation to research takes into account three elements: the number of graduates with masters and PhD degrees, the academic staffs' performance in research and the faculty's success in raising third-party funding. First, the academic school is rewarded 550.000 ISK for a masters graduate and 2.750.000 ISK for a PhD graduate, which is a lot higher than the above mentioned appropriation from the state. By rewarding for research in this way consequently something else is receiving less funding. According to an interviewee the finance committee tampers with the teaching part of the distribution formula to make ends meet: "if we need money we just lower the proportions of the funding formula that each school gets for teaching". Second, the academic staff are rewarded research points for their work, while the academic school is rewarded 40.000 ISK for each research point.[88] Third, the academic schools are rewarded financially for success in raising third party funding. For international competitive grants the school receives 60% of the value of the grant in matching funds, 35% matching funds for national competitive grants and 20% matching funds for other grants. The matching funds per faculty have a frame of annual limits of 30 million ISK per year. This means that the faculties that attain grants will get additional funding as a matching fund from the academic institution, which is taken from the governmental appropriation. Other faculties that do not receive any or few grants, especially from international competitive funds, do therefore not get this financial compensation based on the matching fund. This creates an unequal distribution of public funding within the academic institution.

Gender is not linked to the budgeting process, but part of the funding that goes into the central administration goes into gender equality work. An Equal Opportunities Officer holds an administrative position within the university and works with the Equal Rights Committee and the Council for Disability Rights. Within UI there is a Professional Council that responds to gender-related and sexual harassment and other sexual violence. The University Council appoints its members. In addition, each academic school runs its own Equality Rights Committee.

'Joint expenses' are allocations for the academics research sabbaticals, national access to scholarly articles, the productivity evaluation fund (*vinnumatssjóður*), the Writing and research fund (*ritlaunasjóður*) and other internal funds. Further information on how this funding is distributed to the academic staff can be found in the following chapter.

About 12% of the public funding is allocated to the housing funding model (*húsnæðislíkan*) that was fully implemented in 2011. The housing funding model, according to UI's 2010 yearbook, "encourages more rationalization of the utilization of the housing".[89] The model is not transparent but according to one of the interviewees the model is what can be called a 'zero sum game', where one unit's gain is equivalent to another unit's loss. UI puts 12% of the funding to the schools, and gets the same funding back but not in the same proportion from each school because it depends on how many square building meters each school uses. In that way each school receives funding to meet expenses for housing, but has the opportunity to utilize the housing to the fullest, and therefore return housing and by that decrease costs without the funding being reduced. That means that some schools profit from this model while others, which take up lot of housing, are getting less funding than they would get if this model was not in use.

[88] Further information on the research points in the following chapter on system of evaluation that affects the academic staff.

[89] University of Iceland (2012). University of Iceland yearbook 2010. Reykjavík: Háskóli Íslands p. 44

System of evaluation that affects the academic staff

In Iceland there is an Evaluation System for Public Universities (*Matskerfi opinberra háskóla*) that forms the basis for evaluation of the work of the academic staff. This evaluation values research, teaching, administration, service and other factors according to a detailed classification. Academics get assigned research points for their work, and these research points affect the academics' opportunities to promotion, prestige and salaries. With regard to the evaluation of teaching, a standard number of points are rewarded to academics with teaching duties. In addition points are rewarded for the publication of teaching material, innovation in teaching, and supervision of postgraduate students. For the evaluation of administrative work the research points are rewarded to specific administrative positions, in particular under the auspices of the University as a whole or its schools. Administrative work under the auspices of faculties is not evaluated for points.[90] In addition, academic staff who are successful in obtaining grants from competitive funds are rewarded with research points. UI plans to intensify their managerial interventions to increase extramural funding, as stated in the UI policy 2011-2016: '*Salary and terms of employment will in greater measure take into account employees' results in obtaining grants from competitive funds*'.[91]

The evaluation of research is based on the publication outlet, and special research points, referred to as 'major points' that are rewarded for 'excellent' publications in high impact factor journals and books from 'prestigious' publishing houses. 'Major points' were introduced at UI in 2010 through the 'incentive and quality assurance system' in order to *'…[…] facilitate the achievement of (the excellence) goals of the policy'*, and to intensify the focus on rewarding academic staff research points for 'excellent' practices. In line with that, academics need to have a certain number of 'major points' to have chance of promotion.

The number of 'major points' an academic receives for a publications is based on the impact factor of the journal. Publications in high ranked journals within the ISI database with a high impact factor, and books and chapters from the most 'prestigious' publishing houses are most rewarded. Furthermore, if an article is published in a 'superior' journal the scholar can receive up to double the amount of research points. These 'superior' journals according to the University are *Nature, Science, Cell* and the *New England Journal of Medicine*. All these journals have in common that they are journals that mostly publish work from STEM and Health Sciences. Moreover, the evaluation and incentive system rewards multi-authorship for which there is a strong tradition in STEM. Publications get a certain amount of points, depending on where they are published. Multiple author articles are rewarded and they generate additional points which are divided between the authors. The total number of points associated with a particular article becomes therefore a function of the number of authors although only up to a certain ceiling. In terms of research points, faculties and research centres gain more points for publications with multiple authors than for articles with a single author, which can play a big part in the financial incomes of the faculties and research centres. In addition, project managers of research grants from competitive funds are rewarded research points, and if the grant comes from an international competitive fund the points received double within an annual limit.[92]

[90] Evaluation System for Public Higher Education Institutions, 2013.

[91] University of Iceland Policy 2011-2016.

[92] Evaluation System for Public Higher Education Institutions, 2013.

At UI academic staff has to submit a performance report annually that details the work done over the last year. Academics are required to obtain a minimum number of research points each year. The research points academics obtain affect, apart from the funding to the faculty, their wages, productivity evaluation funds, research sabbatical, teaching responsibilities, chances of promotion and the allocation of future research funds. When recruited to UI the academic's research points determine his/her pay grade, and every year the wages are revised and they increase in accordance to the research points rewarded in the performance report. The academics that obtain more than the required points for research, except points for the grants, are rewarded with an annual remuneration. The Productivity evaluation fund (*Vinnumatssjóður*) rewards academics working as assistant professors and associated professors, and the Writing and research fund those who work as full professors (*Ritlauna- og rannsóknarsjóður prófessora*). The remuneration is in accordance to the number of points obtained, which means that successful researchers are more financially rewarded than others. To get a research sabbatical the academic has to get a minimum amount of research points and a minimum amount of 'major points'.[93] When it comes to teaching responsibilities, if the average number of research points in a 3 – 5 year period are lower than the minimum required points then there is an permission to increase the teaching responsibilities of the academic. Furthermore, a fund was established with regulations in 2009 to decrease the teaching responsibilities, temporarily, of academics that have 'achieved excellence' in research. At least 80% of the fund is allocated to academics that have attained on average at least 35 major points annually, and 20% of the fund is allocated by nomination the deans of the academic schools[94].

Promotions are conferred once per year in accordance to regulation 263/2010. Assistant professors, research specialists, associated professors or research scholars can apply for promotion. To be eligible for promotion the academic staff has to fulfil a minimum number of research points and 'major points'. The 'major points' play an important role in the promotional system, and assistant professors that do not gain enough 'major points' within the first five years of their academic career can lose their position at the University.[95]

The Glass Ceiling Index (GCI) is an indicator that measures the chances for women compared to men of reaching a top position. A GCI of 1 indicates that there is no difference between women and men being promoted, while a score less than 1 means that men are under-represented in full professor positions and a score higher than 1 that women are under-represented in full professor positions. „The higher the value the thicker the glass ceiling".[96] The Glass Ceiling Index for UI in 2013 was 4,60[97]. The academic work within UI is highly gendered. Vertical segregation is still prevalent despite the fact that women have constituted more than half of the students for the last three decades. The full-time academic staff are 60% male and 40% female academics, thereof men occupy 70% of the full professor positions, 60% of the associate professor positions and 45% of the assistant professor

[93] Agreement on teaching and research between University of Iceland and the Ministry of Education, Research and Culture 2012 – 2016, appendix 1 and Regulation on professional duties of academics no. 605/2006

[94] Regulations on performance-related transfer of work-obligations at University of Iceland no. 971/2009.

[95] Regulation on the promotion and permanent appointment of academic staff at the University of Iceland no. 263/2010 and Evaluation system – definition of major points (from UI inner web).

[96] European Commission Directorate-General for Research, 2006, p. 52

[97] GCI = P/P_a Where P = proportion of women in grade A+B+C positions and P_a = proportion of women in grade A

positions. In part-time positions, women represent more than 60% of the adjuncts and part-time sessional lecturers.

4.2.4 Interviews with key players on the financial framework University of Iceland

It becomes clear from the data collection and the interviews that all funding to the University from the state is based on incentives; incentives to reach the goal of 'excellence'. The funding for teaching is based on the number of graduated students and 'full-time equivalent students', which means that the university only receives funding for students that complete their degree and courses. Hence, UI does not receive funding for students that for some reason cannot finish their courses, e.g. the ones that do not pass the course or have dropped out. The same applies to the research funding from the Centennial fund, state's contributions to the fund are in accordance to UI success of attracting third party funding. The objective of the Centennial fund is to reach the average OECD expenditure per student by 2016, and the Nordic countries' average expenditure by 2020. One participant pointed out how that goal is virtually impossible to reach "If we want to reach the OECD and Nordic average, we need many many billions. But there has never been a will [from the state] to discuss this".

There is a common opinion among the participants that the funding formula is flawed. The participant from the central administration level expresses that "the classificatory system is ok, but the problem is that the price categories are incorrect […] if the categories were correct then the formula would be excellent". The SSH participants feel that the price categories are too low for the School of Social Sciences: "we have the lowest payments per student, and there is a big difference between that category and the second lowest category". An SSH participant associates the low price categories in SSH to gender: "the price categories are 'gender blind', all the male dominated disciplines receive more funding than the female dominated disciplines". According to the participant from the central administration, the financial committee sends every year a proposal to the Ministry of Finance and Economic Affairs on improvement of the funding formula. The proposal has fallen on deaf ears: "It has not been possible to discuss this since the [financial] crisis, the message [from the state] has just been: expenditure cuts".

At UI there is a general lack of transparency when it comes to the budgeting process. The central administration participant, when asked if the funding for teaching goes directly to teaching, answered: "No not necessarily. If I am asked how much goes into the postgraduate programme and how much goes into the undergraduate programme, then I can't really answer it. I could make hundred different numbers. […] But I could of course make a rough estimation". The UI distribution formula (*deililíkan*) of the funding is based on performance measurements. Everything is counted, as one participant shared: "There is a lot of counting in our system. We count all these research points and we count classes taught… I don't know of any other university that counts as many things. […] I think the system at UI has become imbued with all sorts of counting. There is a whole industry and a labour market working just on counting things, there is a large number of people counting all kinds of things here within the university". Another participant pointed out: "The University rewards [the faculties] for both research points and grants awarded from research funds in the distribution formula. And of course graduations, for master students and PhD candidates." The rewards for these derive from the governmental appropriation. This is in line with the agreement on teaching and research between UI and the Ministry of Education, Research and Culture.

In the agreement between UI and the Ministry, the nature of the distribution formula is discussed: "Funding for research is distributed between the academic schools and faculties in accordance to the research points that each unit gains. Hence, little research activity is no longer a private matter of the academic staff member in question, [...] but little activity also reduces the income of the faculty in question".[98] Here it becomes obvious how the distribution of funding affects the academic staff. Their work and productivity, measured according to the Evaluation System of Public Universities, affects the funding to the faculties. When asked about the Evaluation system most participants are very neutral towards it, they all point out that the system is flawed and mention that no system is flawless. A common view is that it is "better than no system" and "better than the old system". An SSH participant believes that the system does not take sufficiently into account the "quality of research" and teaching, to support that statement he says: "I think, with full respect of researchers in the field of natural sciences, I think that being the eighth author on a three page article is not the same as being the first author of a 20 page article. There is not enough distinction between these two today". He adds that the introduction of 'major points' was "wise" and a way to improve the system. His STEM colleague shares his view but thinks that that they are "trying to improve a system that will not work out". He thinks that it is "never going to work out for everybody to have one [evaluation] system for all, because of the nature of the fields and traditions between disciplines". To support this he points out that the disciplines within STEM are very diverse: "we have analytical, experimental, engineering and field research and that is only within this School", and refers to more intense differences between the schools. A key player in the central administration has a different opinion and considers the evaluation system being well functioning: "All these incentives, like the productivity evaluation funds, that actually have pros and cons but it works really well! Since it has been implemented the research productivity has increased within the University". In his view, the incentive system enables academics to publish more, which is in line with the objectives of the UI policy on its road towards a more 'excellent' institution.

4.3 Gender composition of decision making bodies and decision-making processes in the School of Social Sciences and the School of Engineering and Natural Sciences

4.3.1 School of Social Sciences and the School of engineering and Natural Sciences: introduction[99]

The Schools within UI are independent with regard to academic and administrative matters, but subject to the limitations outlined in the University's central regulation. Teaching, research, administration and support services operate within the schools. The Dean is the most senior employee of the academic school and is its academic leader and carries its administrative powers and oversees the daily operations.[100] Schools are divided into faculties, and each faculty conducts teaching, research and administration. Faculties are

[98] Agreement on teaching and research between University of Iceland and the Ministry of Education, Research and Culture 2012 – 2016, appendix 1. p. 34

[99] Beacuse of the small size of the faculties we have decided to expand to the school level in our analysis.

[100] Further information on the role of the dean can be found in the chapter on management structure and practices.

governed by the head of the faculty,[101] and they are independent in internal matters, but subject to the limitations outlined in the University central regulation. Schools and faculties may operate special University institutes and research centers, as long as they are established in accordance to the decisions of the governing board of the school.[102]

The School of Social Sciences has the following faculties: the Faculty of Social and Human Sciences; the Faculty of Social Work; the Faculty of Economics; the Faculty of Law; the Faculty of Political Science; and the Faculty of Business Administration. In addition there are the following three interdisciplinary postgraduate studies: Public Health Science, Nordic Master's Programme in Gerontology and Environmental and Natural Resources. Under the auspices of the School of Social Sciences there are the following three research units: the Institute of Business Research, the Scandinavian Research Council for Criminology, the Institute for Economic Studies, the Institute for Human Rights and the Social Science Research Institute.

The School of Engineering and Natural Sciences consists of the following faculties: the Faculty of Industrial Engineering, Mechanical Engineering and Computer Science; the Faculty of Earth Sciences; the Faculty of Life and Environmental Sciences; the Faculty of Electrical and Computer Engineering; the Faculty of Physical Sciences; and the Faculty of Civil and Environmental Engineering. Under the auspices of the School of Engineering and Natural Sciences there are the following eight research units: the Science Institute, Earth Science Institute, Earthquake Engineering Research Centre, Life and Environmental Science Institute, Engineering Institute, Sæmundur Fróði Sustainable Development Institute, the Center for Systems Biology, and GEORG – Geothermal Research Group.

The governing board of each academic school is comprised of the dean of the school, heads of faculties and a student representative.[103] The governing board deals with the school's joint issues and supervises finances, and the running and quality of operations. The governing board addresses school-wide matters, including faculty decisions regarding programmes on offer, faculty proposals for new programmes and enrolment restrictions for each academic year, where applicable. The governing board of each school makes proposals to the University Council regarding amendments to existing regulations or new regulations concerning the organisation and operations of the school, its faculties and institutes; the conferral of honorary doctorates; and research scientists' unadvertised academic positions. The governing board of each school takes decisions regarding the establishment of the University institutes and research centres.[104] Information on the positions of the decision making body, managerial and financial are in the tables below; information on the School of Social Sciences in table 5 and information on School of Engineering and Natural Sciences in table 6.

[101] Further information on the role of the head of a faculty can be found in the chapter on management structure and practices.

[102] Regulation for the University of Iceland no. 569/2009.

[103] The University Council may choose to also appoint to the governing board of a school representatives of certain subjects that make up a faculty. Furthermore, the University Council may choose to appoint to the governing board of a school a representative of a public institution with close working ties to the teaching and training of students within the school.

[104] Regulation for the University of Iceland no. 569/2009.

Table 5: The decision making body, managerial and financial, of SSH:[105]

Position	Male	Female	% men	% women
Dean	1	0	100%	0%
Managing Director	0	1	0%	100%
Head of Finance Division	0	1	0%	100%
Head of Human Resources Division	0	1	0%	100%
Head of Faculty	5	1	83%	17%
Deputy Head of Faculty	3	3	50%	50%
Heads of the Schools' committees	0	3	0%	100%
Other members of the Schools' committees	8	9	47%	53%

Table 6: The decision making body, managerial and financial, of STEM:[106]

Position	Male	Female	% men	% women
Dean	1	0	100%	0%
Finance manager	1	0	100%	0%
Head of Human Resources Division	0	1	0%	100%
Research Manager	0	1	0%	100%
Head of Faculty	5	1	83%	17%
Deputy Head of Faculty	3	3	50%	50%
Heads of the Schools' committees	5	1	83%	17%
Other members of the Schools' committees	23	13	64%	36%

When it comes to participation in the School's boards and committees it is stated in the Act on Equal Status and Equal Rights of Women and Men no. 10/2008 that participation of women and men in public committees and boards has to be approximately equal (minimum 40%) and this also applies to the University of Iceland. According to the data on the committees at the selected Schools they do not reach the minimum participation of women and men in their committees. In four out of six STEM committees they do not reach the minimum participation of women. The opposite appears in SSH, in two out of three committees they do not reach the minimum participation of men.

Information on the number of academic staff, teachers, researchers, post-docs, PhD students and graduates of the two schools, the School of Social Sciences and School of Engineering and Natural Sciences can be found on table 7. From this data on the academic staff, it becomes clear that there are considerable differences between STEM and SSH.

In the year 2013 the schools have similar numbers of academic staff (full professors, associate professors and assistant professors), total 110 in STEM and 106 in SSH, but the gender composition is more equal in SSH than in STEM, women are 42,5% in SSH but only 23,6% in STEM. The academic staff in STEM occupies higher positions than the academic staff in SSH. The majority of the academic staff in STEM are full Professors (65% in 2013), while in SSH two out of five of the academic staff is in that position (41% in 2013). In addition, STEM

[105] Data collected May 18th 2015.

[106] Data collected May 18th and June 1st 2015.

has a rather big group of academic research specialist/scholars/scientists[107] (29 people in 2013) while only two men occupy that position in SSH. These academic research specialist/scholars/scientists do not have any formal teaching responsibilities, just research and in some cases administration work.

There is a vertical segregation in both academic schools; men occupy higher position than women. In SSH, in 2013 men were around 60% of full professors and associate professors, and 53% of assistant professors. The two positions of academic research specialist/scholars/scientists are occupied by men. Gender representation is more equal when it comes to the adjunct positions, but 62% of the part-time sessional teachers are women. According to an SSH interviewee there are two groups of sessional teachers within the academic school, sessional teachers who have made a career out of the work or are waiting for an opportunity of a academic position at UI and sessional teachers who are experts and have a position outside of the university. Other SSH interviewee points out that because of lack of funding for students, and therefor not being able to higher full-time academic staff, the school has to rely heavily on the first group of part-time sessional teachers to cover most of the teaching. In regards with STEM, the academic positions are mostly occupied by men, especially the highest positions. In STEM in 2013 men were 86% of full professors and around 60% of associated professors and assistant professors. In addition 62% of academic research specialist/scholars/scientists are men. In 2013 there were only three adjunct positions in STEM and two of them were occupied by women. Majority of the part-time sessional teachers in STEM are men (63%), but according to a STEM interviewee those positions within the school are mostly occupied with professionals that work outside of the university.

Furthermore, there were 44% more PhD students at STEM than SSH in 2013 and graduated almost five times more PhD candidates. In STEM men are the majority of the PhD students (58%) and the PhD graduates (61%), compared to SSH were women are the majority of the PhD students (72%) and the PhD graduates (75%).

[107] Information on number of research specialist, scholars and scientists in each position was not available.

Table 7: Information on the School of Social Science and the School of Engineering and Natural Sciences 2010-2013

Number of:	2010				2011				2012				2013			
	SSH		STEM		SSH		STEM		SSH		STEM		SSH		STEM	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
N Full Professor	25	15	66	8	24	16	63	8	25	17	61	10	26	18	61	10
N Associate Professor	14	9	23	9	17	9	18	8	16	11	17	11	17	11	15	11
N Assistant Professor	19	12	7	5	17	13	8	5	18	13	6	2	18	16	8	5
N Research scientist/ scholars/specialists	2	0	28	9	2	0	25	10	1	0	20	10	2	0	18	11
N of Adjunct positions	9	6	0	0	9	10	0	0	7	9	2	0	9	11	1	2
N of Seasonal/part-time teachers	203	276	227	100	200	259	261	101	182	312	291	129	189	303	268	159
N of Post-doc positions	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
N of PhD students	32	44	81	60	33	64	89	64	27	63	77	66	26	65	75	56
N of PhD graduations	1	0	14	7	3	1	15	8	3	2	8	6	1	3	11	7
N of job openings on C/D level (publicly advertised)	5		3		3		9		8		7		7		7	
N researchers working on a part-time / full-time temporary contract (e.g. specific research projects, post-docs, etc.)	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a

The funding from UI to the schools, based on the above mentioned funding formula (*reiknilíkan*) for payments per full-time equivalent student (60ECTS credits per year), creates a lot of discussion in the interviews. The SSH key players see this as an unequal and unfair distribution of public funding. As mentioned above the annual funding from the state for STEM students is 65-100% higher than the annual funding for SSH students. One SSH key player suggested that there is a correlation between this funding formula and gender, which as can be seen in table 8 entails that there are proportionally more women studying in SSH than in STEM.

Table 8. Students registered in SSH and STEM 2010-2013 by gender

	SSH			STEM		
	Total number of students	% women	% men	Total number of students	% women	% men
2013	4555	64.2%	35.8%	2297	39.5%	60.5%
2012	4519	64.1%	35.9%	2212	38.9%	61.1%
2011	4703	64.2%	35.8%	2214	39.5%	60.5%
2010	4554	63.5%	36.5%	2174	39.5%	60.5%

In SSH the allocation they receive for teaching and research from the public funding goes undivided to the faculties, apart for the 10% they hold back for the central administration of the School. According to a representative from SSH, the School receives additional funding, 150-200 million ISK, which they distribute to the faculties on the basis of the UI distribution formula (*deililíkanið*) to raise the lowest price category. Most of the faculties within SSH are in the lowest price category of the states' funding formula, according to a SSH representative all faculties except Economics are in the lowest price category. The interviewee says Economics are accounted for as mathematics, which is according to the funding formula (*reiknilíkan*) 60% higher funding for a full time equivalent student than in other SSH disciplines. Most of the funding to the SSH central administration goes into paying the administrative staff's salaries and joint expenses of the school. Part of the central administration funding is used to pay for additional academic staff travel grants that are not covered by the UI funds, according to an SSH interviewee UI puts 19 million ISK for travel grants to each School and since the SSH is the biggest school this funding does not cover all the academic staff. The rest of the funding for central administration, which is not a high amount of funding, goes into special projects. Those special projects are e.g. 'the assistant fund' (*aðstoðarmannasjóður*) and 'applications grants' (*umsóknarstyrkir*). With the former grant, the academic staff can employ an assistant, usually a student, to help them with research or teaching. The latter is to support academic staff in applying for research grants; the grant can be used to employ an assistant, pay for professional services or to „pay your way out of teaching or research". The amount for each of these grants is very low, or around 100-150.000 ISK.

At SSH the matching funds for the grants go directly to the department where the granted research project is hosted. The matching fund is as mentioned before, an incentive for success in attaining grants. According to a SSH interviewee the academic staff within the school does not enjoy comparable working conditions, and it is difficult to pin point which faculties or individuals have better or worse working conditions. The working conditions depend on the size of the courses that are taught and how they are valued time wise. This also applies to the sessional teachers. There is an interest to coordinate this system, but because the school has little funding they would have to do it according to a zero sum game, which means that „For someone to get more, another one has to get less". The SSH

representatives are planning to use gender budgeting in their budgeting process, they are very positive towards it and see it as a tool to end the unfair distribution between the faculties and individuals. The SSH is currently working on their new Equality Policy and Action plan that is planned to be completed in the Summer of 2015.

In STEM the allocation they receive for teaching and research does not go directly to the faculties, the school uses activity and strategic based budgeting. In this way, each faculty makes a policy and all deviations from the UI distribution formula (*deililíkanið*) are explained with strategic decisions. The funding is then negotiated in a meeting between the heads of the faculties and the dean of the school. According to a STEM participant the aim is to follow an ideology that is called 'Beyond budgeting', where 80-85% of the budget will be the same as today, but the rest (15-20%) will be used strategically towards a change. As he puts it: "In classical budgeting you are not going to change 80% of the budget, just take what you can change, control it, and let the rest be". It is also mentioned in the interviews that some faculties have more trouble making ends meet, e.g. due to housing expenses where they have laboratories, those faculties are allowed to leave a 'debt-tail' which the School takes care of. When asked if gender is part of the budgeting process the answer is no, one participant states that "it is in reality not possible to take that [gender] into account". According to another STEM participant the schools' equality committee is very active and is currently working on an Equality Policy.

It also became clear from the data that STEM as compared to SSH receives more third party funding, such as grants and agreements with the business community; as mentioned before this affects the funding towards the faculty. As mentioned in the chapter 'System to allocate funding within the academic institution' the faculties obtain 20-60% matching funds for grants, and the highest matching funds go to grants obtained in international competitive funds. Information on received grants, deriving from the European Union's Seventh Framework Programme for the years 2008-2014, reveal that the School of STEM received funding for 29 projects and the School of SSH for four projects. Information was available on 27 of the STEM projects with a total amount of grants received reaching up to 7.898.103 EUR, while the 4 SSH projects obtained funding for 1.245.700 EUR.[108] When looking past the different amounts distributed to STEM and SSH from this extramural funding, and concentrate instead on how this funding steers the distribution of public resources to scholars and faculties through the incentive system it can be observed that the system is vulnerable to inequality. STEM faculties that attain a grant will get additional funding as a matching fund from the academic institution, which is taken from the governmental appropriation. Other faculties that do not receive any or few grants, especially from international competitive funds, are therefore denied this financial compensation based on matching fund. This creates an unequal distribution of public funding within the academic institution. According to a STEM participant the central administration is focusing on improving the staff's working conditions and it provides support services for all staff members, especially in relation to research. Two staff members at the central administration level work as pre- and post-award support to academic staff in attaining more grants from national and international funds. According to a SSH interviewee the central administration in SSH is working on offering more support to academics to help academic attain research funding and "to create a space for the staff to devote themselves to research". SSH plans to

[108] List of UI projects granted by the European Union's 7th Framework Programme for research, technological development and demonstration. University of Iceland, n.d.

hire a research manager to support the staff with pre and post award tasks. In addition, SSH, in co-operation with STEM, is starting a project office to provide research services for the academic staff. According to an SSH interviewee SSH will with this co-operation "benefit from the fact that STEM is ahead of SSH when it comes to attaining grants".

In the SSH school agreements with the business community and funded positions are very rare, around one or two with corporations and a couple of other 'outside of the UI contracts' with the City of Reykjavík and state authorities. According to a representative from SSH the School would like to have more contracts, as long as it is assured that they do not affect the professional focus or interpretation of the results. „As long as that is assured, I am not afraid of a partnership with the business community". In STEM positions funded with contracts with the business community are very common and according to a representative from STEM there is a long tradition for such contracts. They have service contracts and „large research contracts with Síminn [a telecommunication company], Landsvirkjun [the National Power Company of Iceland], Decode Genetics [a biopharmaceutical company] and Össur [a orthopaedics company]. This is more like a cooperation, and a lot of the contracts are very practical". In addition, the academic staff and PhD students in STEM often receive grants from the business community.

4.3.2 Women and men pursuing their career within the School of Social Sciences and the School of Engineering and Natural sciences

The student/full-time teacher ratio in UI in 2013 was 24.[109] There is a noticeable difference however between SSH and STEM as can be seen in table 9. In SSH the student/full-time teacher ratio reached up to 1:48 in 2010 while the ratio was 1:18 in STEM. In 2013 the student vs. full-time teacher ratio in SSH was 1:43 while in STEM it was 1:21.

Table 9. Student full time teacher ratio 2010 – 2013 in SSH and STEM

	SSH			STEM		
	Full time teachers	Students	S/T ratio	Full time teachers	Students	S/T ratio
2013	106	4555	1:43	110	2297	1:21
2012	100	4519	1:45	107	2212	1:21
2011	96	4703	1:49	110	2214	1:20
2010	94	4554	1:48	118	2174	1:18

The use of temporary employment contracts within UI rose after the financial crisis in 2008. Between the years 2008 and 2011 the number of adjuncts increased by 24% and the work of part-time sessional teachers equivalent of full time adjunct positions increased by 36%. Those positions are based on temporary/fixed-term employment contracts which means that the teachers do not receive the same rights and benefits, such as paid vacation and sick-leave, as the full-time academic staff. UI differentiates between adjuncts and sessional/part-time teachers. Both adjuncts and sessional teachers have teaching responsibilities, but some adjuncts also have research responsibilities. Adjuncts have more rights than sessional teachers, they are e.g. hired for 6 or 12 months each time, can attend faculty meetings and they have access to some of the UI funds. Sessional teachers are paid per session and have

[109] Full-time teachers are full professors, associate professors and assistant professors.

no legal rights for instance to sick leave or work facility. This is a very diverse group of teachers, some are experts working elsewhere and only teach a couple of classes per semester, while others teach one to three courses for the whole semester and make a living out of teaching. SSH relies a lot on the latter group while STEM relies on the experts.

As mentioned above, vertical segregation is still prevalent within UI. The Glass Ceiling Index (GCI) for SSH and STEM as displayed in table 10 reveals that in 2013 the GCI was 3.11 in SSH and 6.73 in STEM.

Table 10. The Glass Ceiling Index for SSH and STEM 2010 – 2013

	2010	2011	2012	2013
SSH	3.08	2.95	3.04	3.11
STEM	7.46	7.14	5.56	6.73

PhD programs at the School of Social Sciences and the School of engineering and natural sciences

In 1917, six years after the founding of the University of Iceland, the first regulation on doctoral degrees were established by the University Council. In 1919 the first candidate, a man, defended his doctoral dissertation. In the first 50 years of the University history 25 candidates defended their doctoral dissertation, among them just one woman, Dr. Selma Jónsdóttir in 1960[110]. Today the University of Iceland is authorised by the Minister of Education, Science and Culture to offer doctoral programmes in all of its schools, in accordance with Act no. 63/2006 on Universities, and Regulation no. 37/2007 on rules for doctoral programmes in universities. University of Iceland was the first university granted to offer doctoral programmes in all of its schools, this authority was granted following a professional evaluation of the University by foreign experts in 2008 and 2009[111]. The Graduate School of the University of Iceland was established in 2009 with the function of ensuring and strengthening the quality of doctoral programmes at the University. The Graduate School has a comprehensive oversight of postgraduate studies, working closely with schools and faculties, but the faculties bear the academic responsibility for postgraduate studies at the University. STEM has 45% higher number of PhD candidates than SSH, as seen on table 7 on page 26. In 2013, 131 candidates were working on their PhD in STEM compared to 91 candidates in SSH.

At UI PhD positions can either be funded, paid or non-paid. Funded PhD positions are most often from Icelandic funds (e.g. Rannís - the Icelandic Research Fund, UI Research Fund, Eimskip University Fund). According to the Division of Science and Innovation the funding from the internal funds is paid monthly as a grant to the grantee's bank account. Regarding the paid positions it seems arbitrary which PhD candidates get employed in a paid position. Most often the employed candidates have been hired after a PhD position has been advertised. Information on the number of paid PhD candidates at SSH was not available. In STEM there were 31 men and 29 women on a paid PhD contract in 2013, thereof 12 men and 19 women had a full-time temporary contract and 19 men and 10 women a part-time

[110] Jónsson, 1961: p. 124-129.
[111] University of Iceland, 2009.

temporary contract. Candidates can do their PhD studies, all of it or parts of it, without funding, but in recent years UI has placed much emphasis on increasing the number of grants available to doctoral students.

Studies at UI are free of charge with regard to tuition fees, but students do pay registration fees that are pronounced in the Icelandic Fiscal Budget, as mentioned earlier the annual fee for the year 2015 is 75.000 ISK per student. Doctoral students generally do not have teaching obligations with their studies. However, there are Teachers' assistant grants available for doctoral students who do not have basic support from other funds. The provisions of the grants stipulate that the faculty in question secures teaching for the grantee paid for by the faculty. The grant is 2 million ISK and the teaching load should be 250 hours per year, this applies to all academic schools.[112] The Graduate School puts emphasis on that PhD students should be offered teaching and projects related to their doctoral program. Teaching should be within moderate limits, and not exceed 20% of the total workload, and not to delay normal progress of the program.[113]

In STEM almost all the PhD students have funding, and today funding is a precondition for the enrolment of PhD students. That is not the case in SSH as one interviewee revealed: "We have many PhD students, but not many grants to Phd students". This is though changing, as he adds: "I think that it is decreasing that PhD students do their degree without funding. It does not make sense, it is bad for the supervisor and the candidate. We are observing a flaw in the system within SSH, e.g. when our PhD candidates are getting funded from the Icelandic Research Fund a year into their studies it means that they only receive a grant for two years, because the grant is for a three year program". Funding can be very important for PhD candidates and it can deeply affect the duration of their programme, as one SSH participant put it: "A PhD programme that is not fully funded is unfair and even unrealistic". As shown on table 11, in the years 2010 – 2013 the PhD duration of SSH candidates was longer than for STEM candidates. Many factors could affect the length of the PhD program, but according to the interviewees funding is a major factor. In SSH, 83% of graduated women and 78% of graduated men were longer than 5 years with their PhD program in comparison to STEM, where 46% of graduated women and 63% of graduated men finished their PhD within 5 years.

Table 11. N of PhD graduations in the two academic schools by sex 2010-2013 and time for PhD duration for the graduates

		<5 years	>5 years
SSH	Women	16.7%	83.3%
	Men	22.2%	77.8%
STEM	Women	46.4%	53.6%
	Men	62.5%	37.5%

In table 12 is information on the number of PhD graduation compared to the number of job openings on a C/D level within UI in the years 2010-2013. A lot more PhD candidates

[112] In comparison an assistant professor with 50% teaching obligations has to teach 801 hours annually. The procedure policy on grants for teachers' assistants (UI inner web).

[113] University of Iceland's Graduate School, n.d. and Evaluation system – definition of major points. (n.d.)

graduate from STEM than SSH, in 2013 18 candidates from STEM and 4 from SSH. In the same year the same amount of job positions opened up in STEM and SSH, or 7 positions. There is a common view in the interviews that it is most suitable if a candidate for a job on a C/D level should have obtained their PhD degree from abroad. As one SSH candidate put it: "It is not good if the University is producing a lot of its own teachers […] so it is important that the PhD program is international. Like it is in STEM where Icelanders are in the minority of PhD graduates".

Table 12. N of PhD graduations vs. N job openings on C/D level within UI per year 2010-2013

		2010	2011	2012	2013
SSH	N PhD graduations	1	4	5	4
	N job openings	5	3	8	7
STEM	N PhD graduations	21	23	14	18
	N job openings	3	9	7	7

4.3.3 Research projects, research funding, research points

Icelandic Research Fund

The Icelandic Research Fund is an open competitive research fund that operates according to the Act on Public Support for Scientific Research no. 3/2003. It awards funding to research students and defined research projects led by individuals, research teams, universities, research institutions and companies, based on a peer review of the proposals.

Normally several researchers are working on the projects that are awarded, and often the grant is used to fund PhD students and post-docs. Data on the gender composition of the group of researchers is not available, hence we analyse the gender of the project managers, as they carry the responsibility for the project.

In the 2013 the Icelandic Research Fund received 236 applications. For these applications there were 258 project managers, 62.5% are men and 37.5% women.[114] In total 65 new projects were funded, or 27.5%, with 68 project managers, 65% men and 35% women. The success rate for men was 27.0% and for women 25.3%.[115] The total amount of funding that was applied for was 1.67 billion ISK,[116] and 416 million was rewarded from the fund, or 25% of the total amount applied for. The mean of applied grants was 7.1 million ISK, while the mean for the amount granted was 6.4 million ISK.[117]

Generally, grants are awarded for three years, therefore part of the funding goes to projects that are already on-going. In 2013, there were 143 research projects that received funding from the Icelandic Research Fund, out of those 46 projects from SSH and STEM at UI (new and on-going projects), 9 projects in SSH and 37 projects in STEM. Table 13 displays the number of funded projects and the average amount granted by academic school and sex of principal investigator. From Table 13 it can be seen that STEM gets more funding than SSH, more projects get funded and on average higher grants. In SSH, the principal investigator was

[114] There can be more than one project manager registered for a project.

[115] The Icelandic Centre for Research, 2013a.

[116] The Icelandic Centre for Research, 2013b.

[117] The Icelandic Centre for Research, 2013a.

a man in 5 projects and a woman in 4 projects, and the average amount granted was higher for men than women. In STEM, the principal investigator was a man in 84% of the projects and a woman in 16% of the projects, but the average amount granted was higher for women than men.

Table 13. N of funded research projects and the average amount granted by academic school and sex of principal investigator 2013

	N research projects	Average amount
SSH	9	6.015.778 kr
Men	5	6.151.400 kr
Women	4	5.846.250 kr
STEM	37	6.465.324 kr
Men	31	6.417.097 kr
Women	6	6.714.500 kr
Total	46	6.377.370 kr

University of Iceland Research Fund

The objective of the University of Iceland Research Fund (*Rannsóknarsjóður Háskóla Íslands*) is to strengthen research activities within the university. Grants are allocated once per year, and those eligible to apply are all teaching and research staff at University of Iceland. The fund is managed by the University Council Science Committee, and the chairperson of the committee is also the chairperson of the board of the fund. Evaluation of the application is primarily based on the applications' scientific value and the research activity of the applicant[118]. In the 2013 the University of Iceland Research Fund received 254 applications, 56.7% from men and 43.3% from women. In total 229 academics received funding, 58.5% men and 41.5% women. The success rate for men was 93.0% and for women 86.4%.

Table 14 reveals the number of internally funded research projects in SSH and STEM by academic position and by sex in 2013 and the amount of funding. For every SSH project funded, STEM got almost three projects funded. The success rate for STEM academics is higher than SSH academics, or 96% in STEM compared to 84% in SSH. STEM received 26% higher funding on average for their research projects, the average amount funded to STEM projects was 1.162.824 ISK and the SSH projects was 921.154 ISK. In SSH an equal number of men and women got funding, the success rate is higher for women but men got slightly more funding even though women applied on average for 10% higher funding than men. In STEM 77% of the funded research projects were led by men, men have higher success rate than women and men received 14% higher funding on average than women, even though women applied on average for 13% higher funding than men.

[118] Regulation for the University of Iceland no. 569/2009

Table 14. University of Iceland Research Fund 2013: N funded research projects by academic position, the sex of principal investigator and the amount of funding granted, and men and women success rate.

	Funded projects						Success rate	
	N		Amount funded in million ISK		Total N	Total amount funded in million ISK		
	Men	Women	Men	Women			Men	Women
SSH	**13**	**13**	**12.100**	**11.850**	**26**	**23.950**	0,81	0,87
Adjunct								0,00
Assistant professor	3	3	1.600	2.300	6	3.900	0,75	0,75
Associate professor	2	1	1.500	800	3	2.300	0,67	1,00
Full professor	8	9	9.000	8.750	17	17.750	0,89	1,00
STEM	**57**	**17**	**68.249**	**17.800**	**74**	**86.049**	0,97	0,94
Assistant professor	3	1	3.700	1.100	4	4.800	1,00	0,50
Associate professor	5	6	5.300	5.100	11	10.400	1,00	1,00
Full professor	34	6	41.449	7.800	40	49.249	0,97	1,00
Research specialist	3	1	2.400	1.100	4	3.500	1,00	1,00
Research scholar	2		1.900		2	1.900	0,67	
Research scientist	10	3	13.500	2.700	13	16.200	1,00	1,00

Since the evaluation of application is primarily based on the research activity of the applicant it is more likely that academics in higher positions will get funding, and therefor more likely to apply for the fund. Therefor it is important to look at the number of applicants in relation to the applicant pool, as shown on table 15 below. Overall in SSH a higher proportion of women in the potential pool of applicants apply to the University of Iceland Research Fund than men. When analysed by academic position we can see that higher proportion of women, in relation to the application pool, in full professor, assistant professor and adjunct position in SSH apply to the fund compared to men. Whereas higher proportion of men, in relation to the application pool, in associate professor position in SSH apply to the fund compared to women. Overall in STEM lower proportion of women in the potential pool of applicants apply to the University of Iceland Research fund than men. When analysed by academic position we can see that higher proportion of women, in relation to the application pool, in full professor, associate professor and assistant professor in STEM apply to the fund compared to men. Whereas higher proportion of men, in relation to the application pool, in research specialist/scholar/scientists positions in STEM apply to the fund compared to women.

Table 15: University of Iceland Research Fund 2013: N applications, by academic position and the sex of principal investigator compared to N women in the application pool

	Applications					Women in application pool %
	N men	N women	Total N	% Men	% Women	
SSH	**16**	**15**	**31**	**51.6%**	**48.4%**	**43.8%**
Adjunct	0	1	1	0.0%	100.0%	55.0%
Assistant professor	4	4	8	50.0%	50.0%	47.1%
Associate professor	3	1	4	75.0%	25.0%	39.3%
Full professor	9	9	18	50.0%	50.0%	40.9%
Research specialist/scholar/scientist	0	0	0	0.0%	0.0%	0.0%
STEM	**59**	**18**	**77**	**76.6%**	**23.4%**	**27.5%**
Adjunct	0	0	0	0.0%	0.0%	66.7%
Assistant professor	3	2	5	60.0%	40.0%	38.5%
Associate professor	5	6	11	45.5%	54.5%	42.3%
Full professor	35	6	41	85.4%	14.6%	14.1%
Research specialist/scholar/scientist	16	4	20	80.0%	20.0%	37.9%

Doctoral grants of University of Iceland

Doctoral grants of the University of Iceland (*Háskólasjóður Eimskipafélags Íslands/Doktorsstyrkir Rannsóknasjóðs*) are awarded every year. Those eligible to apply include assistant professors/research specialists, associate professors/research scholars and full professors/research scientists working at the University of Iceland, who fulfill the requirements to be doctoral supervisors. Eligible supervisors have two alternatives when applying, a) a supervisor and a PhD student apply together or b) supervisor applies for for a project. If funds are awarded for alternative b the supervisor is expected to advertise for a PhD student. Evaluation of the application is based on the three main criteria: experts review of the application, the supervisor's publication output and the students grades and publication output.

As table 16 reveals more doctoral grants go to STEM than SSH, in STEM 11 doctoral students were funded in 2013 compared to 5 doctoral students in SSH. This is in line with the different number of graduated PhD candidates in STEM and SSH in table 12 above, but in 2013 STEM graduated almost five times more candidates than SSH. In table 16 it can be noted that majority of the supervisors are men, or 13 out of 16 supervisor. In SSH three male and two female supervisors get doctoral grants. In STEM only one female supervisor got a doctoral grant, compared to 10 men within that school. There is also a gendered difference between SSH and STEM when the data on applicants and their success of attaining a doctoral grant is analysed, as seen on table 16. In SSH men and women have the same success rate; one in five men and women get funded. Men have a higher success rate within STEM, one in three men gets a grant compared to one in ten women.

When analysed by position and sex, it becomes clear that the above mentioned criterion of the supervisor's publication output in the evaluation of the applications is the most important factor. As table 16 reveals, most grants go to supervisors that are full professors, or 13 out of 16 grants, one goes to a research scientist and two to associate professors. With that as a factor for success in attaining the grant, then the system of distributing the doctoral grants is STEM and male focused. Majority of the academics occupying the position of full professor are men and located in STEM. As mentioned above in 2013 65% of the academic staff in STEM were full professors compared to 40% of the SSH academic staff and 86% of the STEM full professors are male. In addition, there is a difference between the success rate of

male and female full professors, in both STEM and SSH around 40% male full professors that apply get grants compared to 25% female full professors.

Table 16. N of doctoral grants applicants and funded projects by academic position and by sex of supervisor 2013 and men and women success rate.

	Applicants			Funded projects			Success rate	
	Men	Women	Total	Men	Women	Total	Men	Women
SSH	**14**	**10**	**24**	**3**	**2**	**5**	21%	20%
Assistant professor	3	1	4				0%	0%
Associate professor	6	1	7	1		1	17%	0%
Full professor	5	8	13	2	2	4	40%	25%
STEM	**30**	**9**	**39**	**10**	**1**	**11**	33%	11%
Assistant professor	1		1				0%	
Associate professor	4	5	9	1		1	25%	0%
Full professor	18	4	22	8	1	9	44%	25%
Research specialist	1		1				0%	
Research Scholar	3		3				0%	
Research Scientist	3		3	1		1	33%	

4.3.4 Research Points

As mentioned in the chapter on the system of evaluation that affects the staff, the Evaluation System for Public Universities (*Matskerfi opinberra háskóla*) and the 'Major points' system introduced at UI in 2010, are both STEM orientated. Table 17 shows an analysis of the number of research points and major points awarded to academic staff of STEM and SSH. The average number of research points per academic staff member in STEM is 27% higher than in SSH, and average number of major points per academic staff member in STEM is 60% higher than in SSH. This might indicate that the academics in STEM are more active researchers than in SSH or that the evaluation system is more favourable to STEM. Unfortunately UI has so far not analysed this data by sex and position, and therefore it was not possible to attain that information.

Table 17: Average research points and major points in SSH and STEM in 2013

				Research points 2013			Major points 2013			
Aacademic school	Number of academic staff	Number of staff that hands in the evaluation report	Equivalent of a full time position	Research points	Average number of research points / number of academic staff	Average number of research point / Equivalent of a full time position	Major points	Average major points / number of academic staff	Average number of research point / Equivalent of a full time position	% major points of research points
SSH	131	112	107,7	3.777,0	28,8	35,1	2.076,2	15,8	19,3	55%
STEM	125	112	110,1	4.562,7	36,5	41,4	3.173,4	25,4	28,8	70%

As mentioned in the section 'System of evaluation that affects the academic staff', the academics get assigned research points for research, teaching, administration, service and other factors according to a detailed classification. The research points for research are based on an evaluation of the publication outlet, the higher the 'impact factor' of the journal results the more research points for the academic. Comparing SSH and STEM publications in journals ranked on the Thomas Reuters/ISI Web of Science List we see that in 2013 SSH had 39 ISI publications, thereof 31% in the ISI top 20% journals, while STEM had 328 publications, with 60% in the ISI top 20% journals. Again, this might indicate that the academics in STEM are more active researchers and producing more excellent research than in SSH or that the Thomas Reuters/ISI Web of Science List is more favourable to STEM.

Salary

The STEM participants talk about how the salary at UI is not compatible with salaries at other universities in the world. Therefore they have been "loosing teachers […] that have not accepted a position." Unfortunately we did not receive comparable information on the salaries im STEM and SSH.

4.3.5 Interviews with key players in STEM and SSH

In this section we will discuss the following themes that appeared in the interviews concerning decision making bodies and decision making processes and women and men pursuing a career within SSH and STEM.

Work conditions of the academic staff

The workload was one of the main themes within the interviews with key players in SSH and STEM. The professional duties of full professors are 48% teaching, 40% research and 12% administrative work, and associate professors and assistant professors have 50% teaching and 50% research responsibilities. Therefore associate and assistant professors get administration work paid additionally, as overtime or as a teaching discount. According to participants from both SSH and STEM, there has not been a fixed rule between faculties on how administrative work is paid. In SSH this has resulted in some faculties paying everybody within the faculty overtime for administrative work, including the full-professors where the administration work is part of their professional duties. This, as one SSH participant pointed out, has resulted in unequal distribution of funding between academic staff, that has so far not been analysed further. However, SSH is in the process of coordinating the system within the school by using gender budgeting instruments.

When asked "who are the ones that are doing the administration work?" a male STEM participant responded: "willing and popular staff members, and that means that competence, training and education is not of importance". In SSH the view is that administration work is considered a burden and it has been difficult getting men to do that kind of work, but the school complies with the law on the equal participation of women and men in public committees and boards.[119] The opposite is the reality in STEM, where they find it difficult to "find" women as one STEM participant points out: "We are very quick to neglect [the legislation] and say that we can't find a woman for this [committee], this is in someway a lazyness". Another key player is assured that the school follows the Equality Act on participation of women and men, but as table 7 shows that is not the reality. This is what Gyða Margrét Pétursdóttir (2009) would describe as 'Aura of gender equality'. Aura of gender equality is a phenomenon where men and women convince themselves that equality reigns, in this case equal representation of women and men on committees, despite concrete evidence indicating otherwise.

All participants acknowledged that there is a lot of pressure on the academic staff to be active in research. Not only does research productivity affect the academics salary but also, as mentioned earlier, the income of the faculty. Therefore "little research activity no longer [is] a private matter of the academic staff member in question".[120] In the interviews it

[119] Act on Equal Status and Equal Rights of Women and Men no. 10/2008.

[120] Agreement on teaching and research between University of Iceland and the Ministry of Education, Research and Culture 2012 – 2016, appendix 1. p. 34

becomes clear that seeking funding is seen as part of the job description, and that SSH and STEM have been taking steps to value that work by offering grants for that work. Success in attaining funding is not monitored within SSH or STEM, but as one SSH participant put it "I would not say we supervise it, but we know who has been efficient". He also does not rule out the possibility of such monitoring in the future.

When asked about male and female academic staff, in SSH the reaction is that there are "a lot more women [who] work here, and women are the majority of students in all the faculties except the Faculty of Economics". It is correct that the majority of students in SSH are female, but as mentioned above the majority of academic staff are men. Women are the majority of sessional teachers and working at the schools administration office. A a participant from SSH was asked if he believes that his school is working towards equal opportunities and access for women and men in teaching and research, he replied that "this is a difficult question" he believes that "there are no systems [within the school] that discriminate by gender, not the allocations nor the regulations". However, he is aware that there isn't equality within his school and he thinks it can be explained by external factors: "The reality is different […] I think that people's circumstances, rather than their nature, governs the opportunities people have within the school. Which isn't good. There is definitely a correlation between gender and these opportunities". Here he is referring to external factors, and that is in line with Icelandic research which shows than men and women in Iceland still hold onto traditional gender roles (see also Rafnsdóttir and Heijstra, 2013; Heijstra and Rafnsdóttir, 2010; Gíslason, 2009; Bjarnason and Hjalmsdóttir, 2008).

A STEM participant reveals that the school has been "loosing women" and the school has been working on preventing that. According to him the school has been focusing on the work culture and on diminishing the "masculine communication methods" and want to make more room for "diverse views and staffs". He thinks that the leavers, women and men, are often leaving academia because of these work conditions. When asked about what measures the school has taken, the participant says that STEM has a "secret group for women, which is a mentor program for new women within the school […] especially for women that are alone in male dominated faculties". According to the participant not all the female academics are participating but he is certain that there is a small group of female academic that meets on regular basis. The participant adds that he thinks it was a mistake to make this programme a secret, but he thinks it turned out like that so that "the women wouldn't be repelled by it in the beginning". There is an 'aura of gender equality' (Pétursdóttir, 2009) in STEM, the participants talk about active work towards gender equality within the school and one participant talked about his dedication to gender equality work, but when asked about the process he answered: "the next step is to do gender mainstreaming, but no one knows what that means and there are no measurements for that". This is a common view when it comes to equality work, there are good intentions but lack of knowledge and commitment to what is needed.

Early stages of academic and scientific career

As mentioned in previous chapters assistant professors that do not gain enough 'major points' within the first five years of their academic career can lose their position at the University. In the interviews this is most often seen as a good practice and adequate standard. As a SSH participant sheds light on it: "[it's a] good system and a great progress from the old system […] The requirements are not too strict, but 40 major points are not that much. You must be able to teach, so this must be a basic requirement [to get a permanent position]. If you can't handle this in five years, then you have to get a job somewhere else". A

STEM participant agrees with this: “I think it is OK to make demands on the staff”, and he adds “we need to help people reach these limits, and not prevent it and have unrealistic ideas about how it is done”. To support assistant professors to get these minimum amount of major points, STEM newcomers get a 500-600 hours teaching discount to use on the first or second year and funding to their research account: “half a million ISK as a kick off, and sometimes more, especially if the research field is new and important, then they get more”. There is an understanding within STEM on the position assistant professors are in, as one participant sheds light on: “It is difficult to start teaching at full force and at the same time start researching, that’s why we are trying to lighten their [teaching] responsibilities so that they can get a good start [with their research]”. The SSH participants share this understanding and talk about how the school would like to support the assistant professors to reach this limit as STEM does, but the school’s lack of funding is standing in the way of that. The school has a high student teacher ratio which affects the working conditions of all the academic staff, but especially the newcomers as one participant shared: “Because there is much need for these newly recruited teachers, it always results in them getting buried with teaching”. A SSH participant mentions that the school is concerned with improving this workload of the assistant professors, and says that the school is trying to welcome newcomers with good reception by informing them about their obligations, assign them with mentors and by encouraging them to apply for the school’s ‘assistant fund’, “so they can alleviate some of their teaching responsibilities or get help with their research”.

A SSH participant noted that a lot would change if the SSH price category in the state’s funding formula would be “corrected”: “If we get higher funding then we can fix the student teacher ratio” and therefore be more concerned with the working conditions of the academic staff. To meet the need for more teachers UI relies on sessional teachers. The use of temporary employment contracts within UI rose substantially following the world-wide economic crisis in 2008 when the public expenditures to UI decreased (OECD, 2014). Between the years 2008 and 2011 the number of adjuncts increased by 24% and the work of part-time sessional teachers equivalent of full time adjunct positions increased by 36%. A STEM participant points out that the best measurement for quality of universities is the proportion of the teaching in the hands of the academic staff, and how much of teaching is in the hands of sessional teachers. Another SSH participant also sees it as a quality issue: “When we have sessional teachers covering considerable parts of the teaching of the school it is not a good thing, and it would be more sensible if more of the teaching would be in the hands of the academic staff”. A STEM participant described the situation as follows: “We went through the crisis and instead of closing down faculties and units like universities around us had to do, we became dependent on sessional teachers, around 2500 sessional teachers, they are non-unionized and do not have any rights and get little paid, so that’s how we solved the financial problems of the University in short. But we can’t have it like this”.

According to the interviews there is a common view that sessional teachers are divided into three “inhomogeneous” groups. First a group of experts that do not do this for the salary but for the connection with the university and are, as a SSH participant put it, “essential” for UI. He adds: “It is invaluable to have access to the labour market”. The second group are postgraduate students, at MA and PhD level, that according to a STEM participant “demand to teach and learn to teach and get experience”. The third group are people that make a living of being sessional teachers, often holding a PhD. One SSH participant describes the third group as “people that want to work with research and want to get a position, which is difficult because we know that there will not be any job openings”. Numerous sessional teachers that could be defined as the third group are employed in SSH, that is not the case in

STEM because the discipline deals with a "totally different labour market". Referring to that STEM graduates are more likely to get a well paid position in the private sector, than SSH graduates.

At UI the rate for sessional teaching is the same for all teachers, but the schools have different formulas to evaluate the teaching. In STEM, when asked about the payments for sessional teaching, there were contradictions within the interviews. Both participants stated that all the sessional teachers received the same rate for their classes, but when discussed further it became clear that it was not the case. According to one STEM participant the payments are depending on the faculty, in engineering they add 25% remuneration for sessional teachers holding a PhD and 15% for teachers holding a master's degree, in other faculties the remuneration is 20% for a PhD degree and 15% for teachers holding a bachelor and master's degree. Furthermore, the other STEM participant points out that there are good and bad sessional teachers, and when asked if they received the same salary he answers: "we try to reward the good ones" and therefore implying that the "good teachers" receive higher payments for their courses than the "bad teachers". A SSH participant shares how this affects SSH: "There is a fault in the University administrative system, that there aren't rules that apply to all and that people should get the same salary in SSH and STEM. Because in STEM they pay more for the courses, they add more hours to it, and we have experienced ridiculous examples where people were teaching methodology here and when they taught the same course in STEM they received a lot higher salary, and in addition the STEM faculty received a much higher allocation of funding [than the SSH faculty]". The rate per hour is the same, but there is not a coordinated system how each course or class is recognized, what the SSH participant is referring to is that the courses are more highly valued in STEM which results in higher payments. He suggests that STEM can offer higher payments because they receive higher funding per student than SSH. Here it becomes clear how unequal the distribution of funding can be, the same course taught in different faculties, with one being in a higher price category than the other, resulting in different funding according to the state's funding formula.

Phd Students

All participants agree that the PhD programme at UI is of great importance, or as one SSH participant put it "entirely indispensable part of research universities", and that the increased number of PhD graduates is a good thing. Although, that same participant thinks that the increasing number of PhD graduates at UI also shows signs of haste, while doubting that all faculties and academic staff should have PhD students, and thinks it is positive that UI is strengthening their quality requirements. According to the participant from the central administration it is not certain what the aim of quintupling the number of PhD graduates is based on. He believes it is the average number of PhD graduates from similar universities in the Nordic countries. When asked about the prospects of the PhD graduates he says: "I want to believe that the business community will gradually want PhD educated staff. I want to believe it. In reality we have nothing to do with all these people within the academic system, that is my opinion". This is more likely to apply to STEM graduates than SSH graduates, at least in Iceland they are more likely get opportunities in the private sector.

4.4 Main conclusion

This objective of this report was to obtain insight into the managerial and financial framework of University of Iceland, and examine the decision-making and budgeting

processes from a gender perspective. Special focus was on two academic schools, STEM and SSH and on the conditions for academic career for newcomers in academia.

Internationalization, competition and performance orientation are all seen as essential factors on University of Iceland's road towards excellence. Our findings reveal that the managerial decisions and corporate instruments used at the University are more favorable for research within STEM oriented subjects, rather than the research within SSH oriented subjects, and that also applies to the conditions for teaching. The decisions and instruments are perceived as objective and gender neutral, and ignore that by rewarding fields that are male dominated the current system increases indirect gender discrimination in academia.

In terms of research, the university encourages faculties to engage in research related activities and depending on their performance the faculties receive additional allocation, which is taken from the governmental appropriation. With the public funding being a 'zero sum game' the university tampers with the teaching part of the distribution formula to make ends meet, the financial compensation for these rewarded research activities therefore affect the allocation for other activities, such as teaching. Faculties that are more teaching oriented are therefore denied this financial compensation based on this criteria. Allocation to the faculties for research related activities is based on three elements: the number of graduates with masters and PhD degrees, academics staffs' performance in research and the faculty's success in raising third-party funding. All these elements give STEM faculties more advantage than SSH faculties. First, STEM graduates considerably more PhD candidates annually and the PhD duration is shorter. Second, assessments of academics staffs' performance in research is built on STEM focused criteria and traditions, such as the amount of attained international competitive funding, publications in international 'excellent' and 'superior' journals and multi-authorship on publications. Third, faculty's success in raising third-party funding, when STEM has significantly more projects funded than SSH.

When it comes to teaching, the state's funding formula for teaching rewarding almost 60-100% higher funding towards the academic institution for full-time equivalent STEM students than full-time equivalent SSH students. When allocating funding to the academic schools UI keeps the same proportions for the academic fields. SSH has indeed a lot higher number of students than STEM, but due to lower funding per full-time equivalent student the school has difficulties with hiring full time academic staff. This becomes apparent when we look at the student/full time teacher ratio which is almost double in SSH than in STEM.

Not only does this system affect the distribution of funding and academic fields differently, the evaluation and incentive system directly affects the individual academic working within SSH and STEM. The research points, especially the major points, affect the academic's opportunities to promotion, prestige and salaries. STEM academics get on average 27% more research points than SSH academics and the average number of major points per academic staff member in STEM is 60% higher than in SSH. This could explain why the academic staff in STEM occupies higher positions than the academic staff in SSH. This indicates that the academics' in STEM are more active researchers than in SSH or that the evaluation system is more favourable to STEM. The evaluation system acknowledges research activities but undervalues teaching and the heavy workload that academics' have to put up with, especially within SSH faculties, where the student full-time teacher ratio is the highest. The fact that STEM academics have more major points than SSH academic indicates that the requirement to reach a minimum amount of major points will more difficult for an assistant professor in SSH than in STEM. In addition, STEM acknowledges the heavy workload of teaching by giving their newly hired assistant professors teaching discount and funding to

supporting them on their quest of acquiring the minimum amount of major points. The funding that STEM receives, both the public and third party funding, gives STEM the flexibility to make support like this possible, that however is not possible within the financial framework of SSH.

Research activities and academics position determine the academics chance of funding. With that as a factor for success in attaining funding, then the system of distributing the grants is STEM and male focused. The majority of the research points and major points go to STEM and with vertical segregation prevailing in both academic schools, most of the academics occupying the position of full professor are men. In addition, this funding system also affects newcomers in academia but the conditions are different in STEM and SSH. Academics that attain funding can hire PhD students and Post-docs, and as a result most PhD students in STEM have funding, which is not the case for SSH. We see that the duration of SSH PhD programme is on average longer than the duration of STEM PhD programme, and funding plays a big part in that. The longer the duration of a PhD the more expensive it is for the faculty and for the student.

By using the first stage of Gender Budgeting and critically analysing the state of University of Iceland, we have demonstrated that male-dominated and female-dominated fields are impacted differently by the policies and systems to distributing funding, in other words we have made an attempt to make inequality at the University visible. The analysis reveals that resources are not distributed in a gender equitable way, it simultaneously creates an opportunity to readdress the inequity and reconstruct academic budgetary policies and resources distribution in order to obtain fairer and equal academia.

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5. UNIVERSITY OF LAUSANNE, SWITZERLAND

Authors: Pierre Bataille, with the collaboration of Gaële Goastellec

5.1 Data collection

Data collection process

Table 1. - Information on the data collection process

	Yes	No	If no, please describe how you obtained the data
Did you obtain all the requested data:			
- on a national level?	x		
- on the institutional level?	x		
- on the department level?		x	Personal access
Was the requested data publicly available and transparent?			
- on a national level?	x		
- on the institutional level?	x		
- on the department level?		x	Personal access
Was the data available analysed by sex?			
- on a national level?	x		
- on the institutional level?	x		
- on the department level?		x	Personal access
	Yes	No	If yes, please describe
Did you meet any resistance while obtaining the data?			
- on a national level?		x	
- on the institutional level?		x	
- on the department level?	x		Data unavailable
Did the 'status' (position) of the researcher within the institution/academia matter to obtain the data?			
- on a national level?		x	
- on the institutional level?		x	
- on the department level?			

Table 2. - Check list on gender equality measures in science on a national level

Gender equality measures in science on national level	Yes	Partly	No
Equal treatment legislation	x		
Commitment to gender mainstreaming			x
Commitment to gender budgeting			x
Publication of sex-disaggregated statistics	x		
Development of gender equality targets/bench marks	x		
Gender balance targets in public committees			x
Women and science unit in the ministry of education/science			x
National committee on women and science	x		
National centre on women and science	x		
Gender equality measures in science on institutional level	**Yes**	**Partly**	**No**
Gender equality plan	x		
Gender balance targets on university committees		x	
Gender quotas on university committees			x
Gender/women studies and research	x		
Programmes on women and science, special funding available	x		

Information on university governance and financial management (e.g., the strategic plan, annual statistical reports) was taken from the university's general website. Most of these data are publically available.

There is a strong lack of publicly available data on faculties. To build our analysis, we collected the sources of information one by one. The information came from miscellaneous sources, mostly the website of the Swiss National Sciences Foundation, data provided by the Central Service of Statistics of the UNIL (UNISIS) and data from other unpublished reports we worked on over the last month.

5.2 THE UNIL: ORGANISATIONAL STRUCTURE, MANAGERIAL AND FINANCIAL FRAMEWORK AND POTENTIAL GENDER BIASES

5.2.1 From bishops to international students: Some milestones in UNIL's history

Founded in 1537, the University of Lausanne (UNIL) was first an "*académie*" dedicated to training ministers for the church, like many other Swiss universities (such as in Geneva, Fribourg, and Berne). The "*académie*" of Lausanne was turned into a "university" at the end of the nineteenth century (1896). The foundations of the university shares two characteristics with most of the other Swiss universities (9 universities, including the two other historical higher education institutions (HEI), the Federal Institutes of Technology of Zurich and Lausanne, which were organised from the beginning on the basis of different standards) that have deeply structured the organisation of the university until the turn of the 21st century.

On an internal level, the original matrix of the UNIL – like most of the other Swiss universities – is the "Humboldt" model (Kopp, 2014) and thus the comprehensive university, which covers a whole range of disciplines. According to Kopp, the UNIL initially had the ambition to bring together all faculty members from all disciplines under the same roof to improve interdisciplinary dialogue. The main aim was to introduce students to new "abstract" knowledge by doing research. Aside from the universities, a wide range of higher education institutions ("*Hautes Ecoles*") transmit "applied" knowledge (and train futures nurses, teachers, and social workers, etc.).

On an external level, and again similarly to the other Swiss Universities, the UNIL's public authority is not the confederation but a canton, in this case the Vaud Canton (population approx. 750'000). The political authority is located nearby geographically speaking and carries out regular and careful monitoring of the university. The university-canton relationship is materialised through a specific law (*Loi du 6 juillet 2004 sur l'Université de Lausanne* - LUL) and a regulation under the act.

The recent history of UNIL (from the 1990s to date) can be seen as a questioning of these two historical organisational characteristics.

Indeed, at the beginning of the 2000s, the UNIL, the University of Geneva (60 km from Lausanne), and the EPFL (with which the UNIL shares its campus) have developed, along with the confederation, a project to rationalise their educational and training courses. The UNIL abandoned its full disciplinary coverage by transferring its mathematics, physics and chemistry sections to the EPFL. This process also implied the merging of the pharmacy faculties in Geneva and Lausanne, which were relocalised and are now concentrated in Geneva. Following this, the UNIL was restructured in 2005. Since the adoption of the LUL by the Council of the State of Vaud, the UNIL focalises on developing the life sciences and human and social science domains as its strategic priorities. The university's internal structure and initial vocation have been replaced through a rationalisation process initiated by the confederation. The result is a more profiled institution, with resources being concentrated on a more limited range of disciplines.

The structural transformation has been articulated through some nationally centralised governance, which has been unusual in the past but is being increasingly developed through a variety of instruments. Cantonal governance became less direct during the same decade: the laws framing the relationship between the canton and the UNIL were modified to provide the university with more autonomy in defining its strategic planning, managing its staff (although the salary grids and status frames are cantonally defined) and managing its budget (half of which is funded by the canton.)

Also during this decade, the Bologna reform profoundly impacted the structure of the studies at all Swiss HEIs. Formerly, the first academic degree was the Licencia, which was obtained after a minimum of five years of studies. The Bologna reform led to harmonising the degree structure on the 3+2 model. While for the universities this consisted of reducing the length of studies to obtain a first university degree and distinguishing between the bachelor's and the master's degrees, for the Universities of Applied Sciences, it led to the creation of Applied Master degrees. It can thus be analysed as a step towards the harmonisation of the degrees offered at both universities and universities of applied science (similar to the old UK Polytechnics). More widely, the Bologna reform introduced ECTS credits, aimed at facilitating student's mobility, also in addition to quality insurance

processes and a reinforced questioning of "social dimension" issues (access to higher education, studies funding and gender equality), as well as on lifelong learning.

5.2.2 UNIL's current organisation

Since 2006, the UNIL has been subdivided into seven faculties.

Table 3. – Faculties of the UNIL, acronyms and sex of the "dean" of each faculty

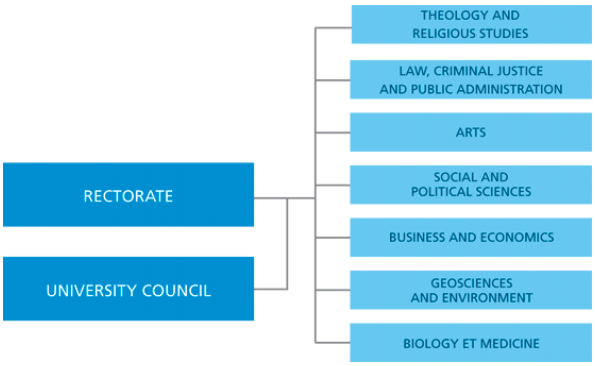
Faculty	Acronym	Head (Fall 2014)
Faculty of Theology and Religious Studies	FTSR	1 Male
Faculty of Law, Criminal Justice and Public Administration	DSC	1 Female
Faculty of Arts & Humanities	Lettres	1 Male
Faculty of Social and Political Sciences	SSP	1 Male
Faculty of Business and Economics	HEC	1 Male
Faculty of Geosciences and Environment	GSE	1 Male
Faculty of Biology and Medicine	FBM	1 Female

5.2.2 Management structure and practices and the institution's visions and strategies

Management structure and decision making at the UNIL

As shown below, the UNIL and its seven faculties are led by two institutional bodies: the Rectorate and the University Council.

Table 4. - UNIL's organisation chart



The university council consists of 44 people who represent all of the different categories of university members. Swiss university members are subdivided into 4 different "bodies": 1) the "*Corps professoral*" (CP), which includes all professors (both tenured and not); 2) the "*Corps Intermédiaire*" (CI), which are non-professorial staff, but who are responsible for a

large share of supervisory/research activities – basically Senior lecturers and (funded) PhD students; 3) students; and 4) technical and administrative staff (PAT).

Representatives of each of these four bodies are elected within each faculty every three years. The university council has three main functions. First, it proposes a candidate as Rector to the Council of the Vaud Canton. Secondly, it makes recommendations on the university's financial report and adopts the UNIL's "Pluriannual strategic plan." Lastly, it can also adopt resolutions on questions that concern the university.

Table 5. - Categories and bodies of academic employees at the UNIL

Bodies	Categories of academic employees (french)	Acronym UNIL (french)	Translation
Corps professoral	Professeur.e ordinaire et associé.e	PO &PA	Professor
	Professeur.e assistant.e en PTC	PAST - PTC	Assistant professor with tenure track
	Professeur.e assistant.e	PAST	Assistant professor without tenure track
Corps Intermédiaire	Maître.sse d'enseignement et de recherche	MER	Senior lecturer
	Maître.sse assistant.e	MA	Junior lecturer
	1er Assistant.e	1er Ass.	PhD assistant
	Assistant.e diplômé.e	Ass. Dip.	Teaching & research doctoral assistant
	Doctorant.e FNS	Doc FNS	Research doctoral assistant
Personnel administratif et technique (PAT)	Responsable/Chargé de recherche	No official acronyms	Senior researcher
	Chercheur.e FNS Senior		Postdoc researcher
	Chercheur.e FNS Junior		Junior researcher (without PhD)
	Collaborat.eur.rice.s scientifiques et technicien.ne.s de laboratoire		Other scientific staff

One rector heads the rectorate. The current rector of UNIL is supported by 5 vice-rectors, one from each of the following subdomains: "Research and International Relations"; "Teaching and Student Affairs"; "Quality and Human Resources"; "Junior Faculty Career Development and Diversity"; and "Sustainability and Campus Life." The Council of the Vaud Canton elects the rectorate, after a proposal from the university council. The functions of the rectorate are diverse, but mainly executive. The rectoral team is elected for 5 years and is responsible for applying long-term general policies for the university, defined in a "Pluriannual strategic plan" proposed to the Council of the Vaud Canton at the beginning of its mandate. The Rectorate submits an annual budget for the whole university to the University council.

5.2.3 Gender structure at the top of the UNIL

The gender structure of the two institutional bodies at the head of the university is almost balanced (46% of women). During the most recent period (2013–2015), the university council has been slightly more gender balanced than the rectorate. Indeed, since 2010, the rector and three vice-rectors have been men, versus only two women vice-rectors.

Table 6. - Gender structure at the top of the UNIL

		Women	Men	Total	% Women
Rectorate (2010–2016)	Rector	0	1	1	0.0
	Vice-rector	2	3	5	40.0
University Council (2013–2015)		21	23	44	47.7
Total		23	27	50	46.0

To summarise, it appears that institutional bodies at the UNIL in charge of managerial decisions are more feminised than those in charge of the budgeting process.

The "Glass Ceiling Index" (GCI) of the UNIL, computed on contracted employees at the end of December 2013, is 2.0. Looking at the GCI of Switzerland in 2010 (1.35), the glass ceiling appears a little thicker and harder to break at the UNIL.

Table 7. - Glass Ceiling Index of the UNIL and of Switzerland

	UNIL (2013)	Switzerland (2010)
GCI (Glass Ceiling Index)	2.0	1.35

5.2.4 The "institution's visions and strategies"…

…at a general level

In 2012, the rectoral team submitted a "Pluriannual Strategic Plan 2012-2016"[121] to the Council of the State of Vaud. This plan includes a commitment to reach ten main objectives (Vaud, 2013), under four headings, described as follows:

Axis 1: Teaching

- Improving access to the university
- Enhancing the access of under-represented populations to higher education
- Providing the necessary teaching and studying conditions to improve academic achievement

Axis 2: Research

- Enhancing the research culture

[121] http://www.google.fr/url?sa=t&rct=j&q=&esrc=s&source=web&cd=2&cad=rja&uact=8&ved=0CCgQFjAB&url=http%3A%2F%2Fwww.vd.ch%2Ffileadmin%2Fuser_upload%2Fthemes%2Fformation%2Fenseignement_superieur%2Ffichiers_pdf%2FEMPD-PS-UNIL_2012-2017.pdf&ei=5XmCVf2CMcTiU9EW&usg=AFQjCNENOqFyaBFeTVE1C6lo-T8EKq8X5Q&sig2=J9U-g6uxJ1prUA9sXKN_PQ [retrieved 15.06.2015]

Axis 3: Contribution to society

- Strengthening the lifelong training and the alumni network
- Placing sustainability at the core of the UNIL's activities
- Improving knowledge transfer

Axis 4: Institutional policy

- Establishing a policy for young academics
- Developing the campus
- Strengthening Lausanne's position in the academic environment

…in terms of gender

Regarding support for the young generation in particular, the UNIL's rectorate is committed to "supporting young women's academics" (Vaud, 2013). To do so, the strategic plan sets an objective of hiring "at least 1 women for every 4 men" when recruiting for professorial positions until 2017 (Vaud, 2013).

Based on this objective, the UNIL has adopted a Gender Equality Action Plan 2013–2016[122]. This action plan was validated last year and allows the university to take part in the Swiss Government's new federal program entitled "Equal opportunity of women and men at universities/gender studies" for 2013-2016 (Swiss University Conference – Programme P-4)[123].

The goals of this federal program are to achieve 25% of women among full professors at Swiss universities and 40% at the assistant professorship level, as well as an increased proportion of women in leading academic positions and decision-making bodies at universities and related institutions.

The Gender Equality Action Plan defines the following domains of actions:

1. The establishment of gender equality in the university's structures as part of quality management.
2. Increasing the proportions of women professors (including assistant professors) and of women in academic decision-making positions.
3. Support for young academics.
4. Work–life balance, with respect to studying at the university or pursuing an academic career, in combination with family and personal responsibilities.
5. Promoting gender equality among undergraduate students and enlarging their choice of study fields (to combat horizontal gender segregation).
6. Gender equality in human resources management and organisational development.

It is important to point out that one of the main instruments to institutionalise equality is the Vision 50/50 project. Under this heading, the rectorate has asked all deans to develop gender equality action plans for their faculties. They were asked to develop a faculty policy

[122] http://www.unil.ch/webdav/site/egalite/shared/Jahia_6_6/Promouvoir_Egalite/Plan_Action/Plan_d_action_PFEC_2013_version_sitewebEN.pdf [retrieved 15.06.2015].

[123] http://www.swissuniversities.ch/en/topics/research/suc-programmes/suc-programme-p-4-equal-opportunity-for-women-and-men-at-universitiesgender-studies-2013-2016/?tx_felogin_pi1[forgot]=1&cHash=2cf4bcad96aa32b75723b4764e43eded [retrieved 15.06.2015].

and to present targets and measures that would take into account the specific situations of the faculty and contribute to the main target that the UNIL has set up at the same time: 40% of women among the professorial appointments up until 2016. This shows the numerous equality policy measures that the UNIL has already introduced. It also explains the commitment given by the Rectorate to implementing changes resulting from the GARCIA research in the evaluation and the follow up of the University Gender Equality Action Plan 2013 -2016.

…in terms of international ranking

Improving the position of the UNIL in international rankings has been one of the main objectives of promotion and communication in the UNIL international strategy since 2009. Most of the international rankings are published on the website of the university each year. For almost ten years, the UNIL has been in the pool of the 300 best universities in the world according the two main international rankings (Shangaï and Times Higher Education).

Table 8. - UNIL's ranking

Year	Academic Ranking of World Universities (Shangaï)	Times Higher Education's World University Ranking
2005	301–400	133
2006	201–300	89
2007	203–304	217
2008	201–302	161
2009	201–302	168
2010	201–300	136
2011	201–300	116
2012	201–300	130
2013	201–300	132
2014	151–200	136

The rectorate of UNIL notes that these rankings "must be taken seriously – despite all their faults – because they serve as a reference tool abroad to position the UNIL in the 'global' university world" (Service des relations internationales, 2009: 4).

To reach this objective, the UNIL rectorate's strategy consists of improving student and staff mobility, from the UNIL to the rest of the world (but also from the rest of the world to the UNIL). They plan to improve the "internationalisation" of a "study program" by the creation of "international Master's degree" using the "rise" of the "Bologna reform" (Service des relations internationales, 2009: 6). They also plan the "consolidation of actions to support the internationalisation of research" by supporting "the creation of an office responsible for the drafting" of European research projects, for instance (Service des relations internationales, 2009: 8).

However, taking part in "those international conferences that debate the many issues raised by these rankings" (Service des relations internationales, 2009: 4) is also part of the rectorate's team strategy to enhance the international ranking of the UNIL.

5.2.5 Financial framework of the academic institution

Funding to the academic institution

Table 9. - UNIL funding (2007-2013)

	2007	2008	2009	2010	2011	2012	2013
	%	%	%	%	%	%	%
State of Vaud	59.5	55.3	55.6	55.1	54.7	52.2	53.2
Swiss Confederation	14.4	16.3	16.3	15.4	15.4	14.8	15.1
Other cantons	11.1	11.4	11.1	10.9	10.8	10.2	10.4
Swiss National Science Foundation (SNSF)	5.2	5.7	5.6	5.5	6.7	7.0	7.3
EU research projects	1.0	1.5	1.2	1.5	1.4	1.2	1.3
Other funds	4.7	5.7	4.7	5.4	5.4	7.4	6.9
Student registration fees & continuing education	3.3	3.0	3.1	2.5	2.4	2.5	2.6
Other	0.8	1.3	2.4	3.6	3.2	4.7	4.2
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0
Total (CHF)	*404040873*	*427915981*	*450901550*	*469179705*	*487874686*	*511618632*	*523076492*

The UNIL is mainly funded by the Vaud canton and the Swiss Confederation (68.3% in 2013). This funding is guaranteed by law through an agreement between the UNIL and these two institutions. More generally, the UNIL is almost entirely funded by public money – at the level of 90% - and not on the "performance" of academic staff.

Nevertheless, a small part of the UNIL's funding is based on performance-related, especially competitive research funds. At the UNIL, funding for research mainly comes from the Swiss National Science Foundation (SNSF). This foundation, created in 1952, is "mandated by the federal government, [to] support basic science in all academic disciplines, from history to medicine and the engineering sciences"[124]. Even though there are other foundations dedicated to research funding, at the UNIL and the other Swiss universities, the SNSF is the main tool of the Swiss Confederation to support scientific research. Academic staff can apply to funding research projects (e.g., buying materials, hiring PhDs). They also can apply for funding their own salaries, especially as young (i.e. non tenured) academics. The SNSF also supports "scientific communication" and provides funding for scientific events, publications, etc.

To get this funding, people hired in Swiss universities have to submit a project and apply individually or as part of a team. Every type of funding from the SNSF is fixed-term, even investments in research activities, which are particularly massive in Switzerland – 3% of the

[124] http://www.snf.ch/en/theSNSF/profile/Pages/default.aspx [retrieved 16.06.2015].

PIB in 2015 (SEFRI, 2015). Access to these funds has become harder in the last ten years mainly because of the strong competition between universities and academics at the national level. For more information see 3.4.

Information about funding is published once a year in the annual "*Rapport de gestion*" edited by the UNIL's Central administration office[125]. These reports are directly available on the website of the university. The sources of funding at the level of the university are therefore relatively transparent.

5.2.6 System to allocate funding within the academic institution

Funding of the faculties

The university funds each faculty directly. Each Faculty Dean has to negotiate the budget of his or her own faculty yearly directly with the Rectorate, but the criteria of attribution are not precisely defined. Moreover, the way in which funding is allocated within the academic institution is fairly opaque. Looking at the information that is available publically, it's impossible to know how funds are allocated to each faculty. We asked the Central Statistical Service to provide us with data about the Faculty break-down of the university budget, but they told us that they were not able to send us a document with this kind of overview.

The lack of publically available data on the faculty budgets is, in a way, an important research result on the decision-making system within the institution. It reflects the fact that even if the head of the university tries to be as transparent as possible –with the adoption of general rules and general principles – the faculties are nevertheless very autonomous. Because of the specificities of each faculty, the day-to-day management of the overall institution becomes somewhat more opaque.

Evaluation at the UNIL

Since 2005, there is a general process of evaluation of each faculty led by the general administration of the UNIL under the authority of a commission named by the UNIL rectorate (the COVER). The objective of this evaluation is to provide "the basis to develop a faculty-based strategy in which it outlines its objectives and suggests coordinated actions to achieve them" […] "This strategy defines the overall directions for the faculty's development and constitutes the frame of reference for cooperation between the faculty and management" (UNIL, 2011: 1).

For each Faculty, the evaluation process is carried out "every six years to maintain the strength of the exercise while relaxing the frequency" (UNIL, 2011: 1). Here is an overview of the main dimensions that are evaluated:

1. GOVERNANCE
    1.1 Overall strategy for the faculty's development
    1.2 Supervising research and education
    1.3 Structural organisation of the faculty
    1.4 Decision-making process within the faculty
    1.5 Participating structures
    1.6 Relations between the faculty's management (the Dean's Office) and its units

[125] http://www.unil.ch/central/fr/home/menuinst/organisation/les-documents-officiels/rapports-annuels.html [retrieved 15.06.2015].

1.7 Relations between the faculty's management (the Dean's Office) and the university's management
1.8 The faculty's internal and external communication strategy
2. TEACHING
2.1 Review of course evaluations and other training programs
2.2 Cross-cutting themes related to education
2.2.1 Programs and courses
2.2.2 Organizing and conducting classes
2.2.3 Pedagogy
2.2.4 Support for students
2.2.5 Perception of the services offered by the Central Services for the Administration of Studies and Support for Student/s
3. RESEARCH
3.1 Research development strategies
3.2 Local, national and international scientific collaborations
3.3 Strategies to promote an academic career path
3.4 Communication and promotion of research results
3.5 Perception of the services offered by the Central Services for Research
4. RESOURCES
4.1 Strategies for developing human resources
4.2 Financial and material resources
4.3 Perception of services offered by the Central Services for Human, Financial and Material Resources

The procedure is called a "self-evaluation operation" and it is mainly led by the Dean of each faculty. It has no direct impact on the individual wages or the individual promotion of employees.

Following this remark, it has to be noted that wages of the academic employees are not based on an incentive system. The wages are guaranteed by a pay scale mainly based on the level qualification and the type of position occupied. There is no automatic promotion system (by length of service or performance, for example). To be promoted, people usually have to apply for a position and compete with candidates from outside the institution.

5.2.7 Interview with key players at an institutional level.

For the support of our analysis in this report, at the beginning of October 2015, we undertook a common interview with the Administrative Director of the SSP Faculty (SHS department) and the administrative assistant to the Vice-dean in charge of quality of this department. The interview provides some information on the financial framework and the ideological underpinning of the allocation of resources within the UNIL.

The Faculty budgets are allocated on the basis previous years' budgets. As the administrative officer of the SSP Department notes, differences in terms of equipment needs are also take into account.

"[About the allocation of financials resources by the university to the departments] *The university allocates funds to each department every year. So, necessarily, the allocation is somehow a heritage of the previous years. Then, all that concerns the differences in term of equipment can also justify the differences of funding between departments. It's sure that in FBM [STEM Department], they don't have the same budget as the other faculties… but their*

needs in terms of equipment are totally different between the two departments. This is one of the arguments that are taken into account."

According to her, the main discussion on the allocation of funds is about the staff-ratio student. It's why the Dean's office of the SSP Faculty try to compute this ratio as best as possible.

"In general, the rectorate reallocate funds when it's possible according to the staff-student ratio [within each department]. It's on this topic that we have some leeway."

As mentioned in the report, the rectorate supports a "self-evaluation" process, of the Faculties and individual employees through the action of the "*Commission de valorisation de l'enseignement et de la recherché*" (COVER). The evaluation takes place every 5 years in each faculty. During this process, various indicators on scientific productivity are collected. But, these are not systematically used and only for consultative purposes.

"The indicators [of performance] are mostly quantitative, because those indicators are the most easy to follow […]. For the moment, we look at the normal kind of research indicators, like the publication of papers in peer-reviewed journals, insertion into international scientific networks or academic recognition […]. This information is only for us – not for external use. It helps us and our employees to feel better in their job and to have the impression of being more productive."

In fact, this information is collated at the Faculty level and is never linked back to individual researchers. So, although there is some encouragement to improve the "scientific productivity" of the Faculty as a whole, this information has no direct impact on the allocation of financial resources between the faculties and no impact on the working conditions of academic staff.

"[About research funding] Is there a strong incentive to encourage people to apply for external funding?

It depends on what do you mean by a "strong incentive". I would say that it's obvious that every professor has to find funds for his/her research projects Of course, there own salaries are paid … I would say that the university can fund some of their research costs, but not much. The Swiss National Science Foundation also provides funding at the national level. I would say that, of course, academics know that they have to bring in funds to develop their own research projects. So there is an incentive. But this is not an incentive like "watch out [bangs on the table], if you don't get enough money for your research, you won't get a pay rise or you won't be allowed to take a vacation next year". No, those kind of incentives, or pressures, don't exist at the Unil. But I think that, in the more general academic context, every researcher or professor – wherever they are – have to bring in their own research funds."

These members of the SHS Faculty note that, even if they did want to do an individualized evaluation of scientific productivity, the Faculty is not currently equipped to carry out this kind of inventory. Thus, there is no way to know if there are differences between men and women in terms of "scientific productivity" or in the allocation of funds.

"Is it possible for you to know the type and level of funding that academic staff at the UNIL received according to their gender? And about the student / staff ratio, is it possible to know if there are differences between male and female professors?

Today, no."

Although we have not as yet been able to carry out a similar focus group interview in the STEM department, there is nothing to suggest that the FBM Faculty has any more precise data collection techniques or performance indicators that the SSP Faculty.

5.3 GENDER COMPOSITION OF DECISION-MAKING BODIES AND DECISION-MAKING PROCESSES IN SSP AND FBM

5.3.1. Introduction to SSP and FBM

Current day location and organisation of SSP and FBM

The SSP Faculty and the FBM faculties – our SSH and STEM GARCIA departments –are part of the seven faculties of the UNIL created following the adoption of the LUL in 2005. At the organisational level, all the faculties of the UNIL are subdivided into multiple units of research. The SSP faculty is sub-divided into four institutes today. Three other units of research depend on the SSP faculty and also a third funder (one National Centre of Excellence - NCCR and two observatories).

Table 10. - SSP organisation

Units of research	Acronym	Head (fall 2014)
Institute of Historical and International Studies	IHEPI	1 Male
Institute of Psychology	IP	1 Male
Institute of Social Sciences	ISS	1 Female
Institute of Sports Studies	ISSUL	1 Male
NCCR LIVES - Overcoming vulnerability: life course perspectives	LIVES	2 Males 1 Female
Research Observatory for Science, Politics and Society	OSPS	1 Male
Research Observatory for Regional Politics	OPR	1 Male

The ”FBM” faculty is sub-divided into 10 departments:

Table 11. - FBM organisation

Units of research	Acronym	Head (fall 2014)
Department of Ecology and Evolution	DEE	1 Male
Department of Fundamental Microbiology	DMF	1 Male
Department of Molecular Plant Biology	DBMV	2 Male
Department of Physiology	DP	1 Male
Department of Fundamental Neurosciences	DNF	1 Male
Department of Pharmacology and Toxicology	DPT	1 Male
Department of Fundamental Oncology	DOF	2 Male
Department of Biochemistry	DB	1 Male 1 Female
Department of Medical Genetics	DGM	1 Male
Center for Integrated Genomics	CIG	1 Male

Managerial or financial decision-making processes in SSP and FBM

The management structure of the seven faculties reflects the one at the top of the UNIL. Each faculty is led by a Dean (and his/her office) on the one hand and a faculty council on the other hand. Like the Rector, the Deans are elected by each faculty council. He or she is chosen within the "*Corps professoral*" of each faculty. Like the university council, the faculty councils are composed of representatives of the different bodies of the faculties. The Vice-Deans are also elected by the faculty councils. Deans and their Vice-Deans are elected for three years and can be reelected twice consecutively. Faculty councils are elected for two years, and their members can be reelected without restriction.

Within each faculty, attributions of the dean's office and the faculty council aren't the same in terms of managerial or financial decision making. All faculties are strongly independent in their own administration and organisation. They all have their own regulations according to their institutional history. Nevertheless, in SSP, as in FBM, the dean's office has to make a financial budget proposal each year to the faculty council mainly based on the funding allocated by the university to the faculty. The faculty council has to accept this proposal.

In SSP, as in FBM, recruitments to permanent (tenured) academic positions (professorships or senior lectureships - MER) are made through a dedicated "recruitment committee" composed of internal and external academics + student representatives. For each position to be filled, the faculty council appoints a specific committee that examines all the applications, interviews short-listed candidates and submits its recommendations in a report to the faculty council. Based on these reports, the faculty council can either adopt or reject the proposal made by the recruitment committee. The council also has the right to change the ranking of candidates and to adopt an alternative recommendation for the position. On the basis of the vote by the faculty council, the Dean's Office makes a final recommendation, which is submitted to the Rectorate, who makes the final decision. For full professorships, the Rectorate usually calls the candidates ranked 1st (and sometimes 2nd or 3rd) for an additional interview, before final approval of the nomination.

As the attribution of funding from university to faculty, the precise composition of the budgets of each faculty is neither published nor provided by the financial services. Because of that, we have been unable to obtain a detailed breakdown of the FBM budget.

Table 12. - SSP Budget (2016) [Confidential document; only available to SSP Faculty council members]

INTITULE	DECANAT	IEPHI 26 04 02 03 00	VieDoc 26 04 02 03 01	ISS 26 04 03 05 00	IP 26 04 04 01 00	ISSUL 26 04 05 03 00	TOTAUX
Personnel Auxiliaire				8'000.-		477'000.-	485'000.-
Conférenciers							0.-
Intervenants	15'000.-						15'000.-
RH sal. Intervenants	3'000.-	28'000.-		69'000.-	50'000.-	200'000.-	350'000.-
SOUS TOTAL INTERV.	*18'000.-*	*28'000.-*	*0.-*	*77'000.-*	*50'000.-*	*677'000.-*	*850'000.-*
Frais de déménagement	18'000.-						18'000.-
Frais transport véh.	1'000.-	4000.-		6'500.-	8'500.00	10'000.-	30'000.-
Frais repas hôtel	2'500.-			20'000.-	4'000.00	1'000.-	27'500.-
Formation pers.	4'500.-			1'000.-		1'000.-	6'500.-
Frais de formation enseignants	6'000.-	81'500.-		130'000.-	142'300.-	35'000.-	394'800.-
Frais d'annonces	1'000.-						1'000.-
Divers aut. & pers.	3'000.-			13'000.-	1'000.-	5'000.-	22'000.-
SOUS TOTAL PERSONNEL	*36'000.-*	*85'500.-*	*0.-*	*170'500.-*	*155'800.-*	*52'000.-*	*499'800.-*
Sous-total GR30	**54'000.-**	**113'500.-**	**0.-**	**247'500.-**	**205'800.-**	**729'000.-**	**1'349'800.-**
Imprimés fourn.bur.	37'000.-	22'000.-	1'400.-	35'000.-	21'350.-	18'000.-	134'750.-
Brochures info	15'000.-	1'000.-		8'000.-	12'000.-	800.-	36'800.-
Reliures			4'000.-				4'000.-
Achat livres	100.-				2'300.-		2'400.-
Livres pédag.		26'000.-	7'500.-	10'000.-		800.-	44'300.-
Livres BCU							0.-
Livres abon. journaux	2'100.-		18'800.-	4'500.-	650.-	1'000.-	27'050.-
insertion commun.						8'000.-	8'000.-
Mat et Machines	1'000.-					5'000.-	6'000.-
Matériel machines		800.-	200.-		12'000.-	5'000.-	18'000.-
Mobilier		500.-		2'500.-	3'000.-		6'000.-
Mobilier pédagogique							0.-
Achat audio				500.-	3'000.-		3'500.-
Achat logiciels	27'000.-	200.-		1'000.-	5'500.-	1'000.-	34'700.-
Informatique	220'000.-	2'000.-		3'000.-	4'450.-	7'500.-	236'950.-
Mat. Labo					500.-		500.-
Entret. mat.enseign.					2'300.-	1'000.-	3'300.-
Entretien mob.							0.-
Mise à jour logiciel							0.-
Entret. Inform							0.-
Location de matériel et machines						500.-	500.-
Loyers						27'000.-	27'000.-
Photocopieurs	8'000.-	8'500.-	300.-	20'000.-	8'000.-	7'500.-	52'300.-
Location mobilier et véhicules						500.-	500.-
Congrès	3'000.-	46'150.-		52'000.-	19'000.-	5'000.-	125'150.-
Camps		17'000.-				36'000.-	53'000.-
Manifestations	55'000.-	24'000.-		20'000.-	4'000.-	4'000.-	107'000.-
experts jury comm.	17'000.-				7'000.-	1'000.-	25'000.-
Surveillance							0.-
Mandats		12'000.-		8'000.-	8'500.-	2'000.-	30'500.-
Port CCP							0.-
Acquis de douane		250.-			200.-	1'000.-	1'450.-
Frais banc et postaux		300.-		400.-	300.-	500.-	1'500.-
Tél. fax	4'200.-	10'500.-	300.-	18'000.-	9'000.-	7'000.-	49'000.-
Coti. Institutions		1'700.-	500.-		2'000.-	5'000.-	9'200.-
SOUS TOTAL GR 31	*389'400.-*	*172'900.-*	*33'000.-*	*182'900.-*	*125'050.-*	*145'100.-*	*1'048'350.-*
Subvention BCU			0.-				0.-
Aide subventions	546'409.-		0.-				546'409.-
Subvent. Personnes physiques			0.-		30'000.-		30'000.-
Aide culture loisirs sports	1'000.-		0.-				1'000.-
SOUS TOTAL GR 36	547'409.-	0.-	0.-	0.-	30'000.-	0.-	*577'409.-*
Sous-total GR 31 à 39	**936'809.-**	**172'900.-**	**33'000.-**	**182'900.-**	**155'050.-**	**145'100.-**	**1'625'759.-**
TOTAL GENERAL	**990'809.-**	**286'400.-**	**33'000.-**	**430'400.-**	**360'850.-**	**874'100.-**	**2'975'559.-**

5.3.2 Gender structure in SSP and FBM

The current Dean of the SSP Faculty (in office since 2010) is a man. The SSP dean's office has been significantly less feminised than the faculty council during the two mandates covered here. In 2012, the STEM department (FBM) elected its first ever female Dean. However, the feminisation of the top of the faculty's organisation is globally lower than in the SSP or at the top of the UNIL.

Table 13. - Gender structure at the top of the SSP and FBM since 2010

			2010–2012				2012–2014			
			Women	Men	Total	% Women	Women	Men	Total	% Women
SSP	Dean's office	Dean	0	1	1	0.0	0	1	1	0.0
		Vice-Dean	1	2	3	33.3	1	3	4	25.0
	Faculty council		17	25	42	40.5	21	23	44	47.7
	Total		18	28	46	39.1	22	27	49	44.9
			2010–2012				2012–2014			
			Women	Men	Total	% Women	Women	Men	Total	% Women
FBM	Dean's office	Dean					1	0	1	100.0
		Vice-Dean					0	4	4	0.0
	Faculty council						16	28	44	36.4
	Total						17	32	49	34.7

As mentioned before, each faculty is strongly independent. One of the consequences of this independence is that it's really difficult to get a clear and systematic overview of all the people employed within each department of the UNIL. Every faculty has its own human resources service and its own policy in terms of recruitment, although employment contracts are partly structured by the rules of the university. The statistics published every year by UNISIS are not detailed enough to provide the information needed in this WP. For instance, in the additional files provided with the "Annual Statistical Report", available on the UNIL website[126], there is no specific information on researchers' funding by the SNSF, and more generally, there is no specific information on people hired into temporary academic positions.

To build a more detailed and comparable overview for the two departments, we worked on the basis of one administrative (and unpublished) file provided by UNISIS in September 2014 which we also used for task 4.1.1. This file contains the list of all the contracts of UNIL employees at the end of 2013. This file also includes information such as the type of position occupied, the salary, the kind of contract (part-time/full-time) and the gender and

[126] http://www.unil.ch/statistiques/home/menuguid/publications.html [retrieved 15.06.2015]

nationality. After a lot of complex data recoding, we were able to achieve an overview (Table 15) of people hired into an academic position in 2013 within the STEM and the SSH departments according to gender.

However, because we worked only with this single file, we didn't have similar information for the past years.

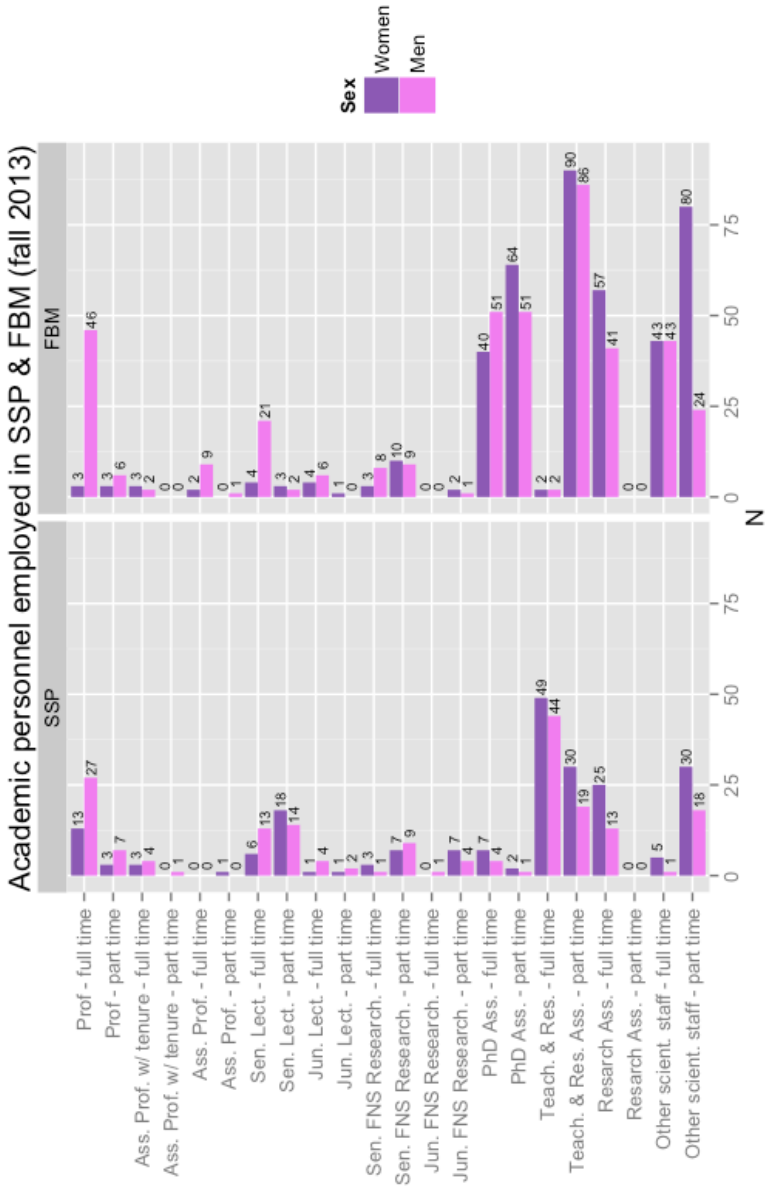
In SSP, as in FBM, women are underrepresented at the top of the academic hierarchy, especially in full-time positions. In both departments, at the lowest level of the academic hierarchy, women are often overrepresented, especially among PhD students (assistants) and technical or administrative positions (PAT).

Nevertheless, the situation in FBM is more critical than in SSP. In the STEM department of the UNIL, there are only 3 women full professors working full-time, as compared with 46 men in the same position. The "Glass Ceiling index" reported below reflects this strong difference between the two departments.

Table 14. – Glass Ceiling Index for the two departments in 2013

	FBM	SSP
GCI (Glass Ceiling Index)	4.9	1.6

Table 15. – Academic personal employed in SSP and FBM (Fall 2013)



5.3.3 Women and men pursuing their careers within FBM and SSP

Student/Teacher ratio, PhD graduation and PhD Duration

The student/teacher ratio within the two departments is particularly low (under or near 10). For instance, in most of the OECD countries in 2011, this ratio was between 10 and 20 in tertiary education institution (OECD, 2011: 397). These low ratios remind us that education and teaching is one of the main goals of the UNIL. The particularly low ratio in the STEM department may also reflect the high proportion of postdoc hired as "1st assistant" (PhD Assistant) and it has to be interpreted carefully. Indeed, even if some postdoc graduates are hired as "1st assistants", according to our WP6 interviews, they are mainly hired to do research.

Table 16. – Students and teachers at FBM and SSP departments (2010-2013)

		2010	2011	2012	2013
Students	SSP	2453.0	2549.0	2771.0	2993.0
	FBM	2661.0	2604.0	2725.0	2854.0
Teachers (full-time equivalent)	SSP	249.3	271.1	271.4	282.6
	FBM	457.1	495.4	530.4	534.7
Ratio Stud/Teach	SSP	9.8	9.4	10.2	10.6
	FBM	5.8	5.3	5.1	5.3

Looking at the proportion of women who graduated with a PhD from 2012 to 2013, the "production" of PhDs graduated seems to be gender balanced in both departments. In SSP, as in FBM, 50% of the PhD students who graduated during these two years were women. However, we must keep in mind that in the lower levels of qualification, women are often overrepresented: Among students, who obtained a Master degree in 2013, 67% were women in SSP and 53% were women in FBM.

Table 17. – PhD graduations in the two departments by sex 2012–2013

		2012	2013
SSP	PhD graduation	22	27
	(inc. women)	14	18
FBM	PhD graduation	123	133
	(inc. women)	68	65

Surprisingly, the average time for completion of a doctoral degree (for people who began around 2000) is not that different between SSP and FBM. Doctoral students of both departments completed their doctoral degrees in eight or nine semesters (four years).

Table 18. – Average time for completion of a doctoral degree at the UNIL (first registration between 1998 and 2000)

Faculties	Average length (semesters)	Standard dev.	N PhD
FTSR	9.29	4.75	7
DSC	10.45	4.09	64
LETTRES	12.16	4.21	89
SSP	9.70	4.16	43
HEC	10.67	3.76	64
FBM	8.79	2.32	284
FGSE	8.86	2.92	28
ALL UNIL	9.78	3.48	579

Doing a PhD in SSP and FBM: administrative and financial aspect

According to the UNIL's Central Services website "doing a doctorate [at the UNIL] does not necessarily mean having an employment contract. In fact, you can be registered as a doctoral candidate (i.e. with the status of tertiary level student) without being employed by the University or the SNSF (the Swiss National Science Foundation). At UNIL, around 53 % of doctoral candidates do not have an employment contract as an assistant (this percentage varies strongly across the faculties, with 69% of candidates without a contract in the Arts & Humanities Faculty, and only 35 % in Geosciences and Environment)"[127]. Data on the exact rate of "funded" PhD position in SSP and FBM are not published.

Within the two faculties, there are two main ways for doing a funded PhD. The first one is to apply for an "*assistant diplômé*" position. In this position, PhD students have five years (max) to complete their PhDs and they are funded on the general budget of the university therefore these positions are structurally anchored in the faculties. They have to spend, on average, half of their time in teaching-related activities during these five years. The rest of their time is dedicated to their own research. The other main way for doing a PhD is to apply for an "SNSF *doctorant*" position. In this kind of position, PhD students have three years (max) to complete their PhD working on a research funded by the SNSF therefore SNSF *doctorants* have no teaching obligations. They can spend 100% of their time on their personal research. When the related project comes to an end the post occupied by the doctoral student (or postdocs, or any kind of employee) disappears. PhD students can also be unfunded, but we have no official figures on the number of unfunded PhDs within the two departments.

"Participation in a doctoral programme is strongly recommended" because, according to the UNIL Central Services[128], "it allows [students] to belong to a community of researchers, to participate to workshops, to meet other doctoral candidates, to present your research and to develop their skills." Nevertheless, attitudes toward doctoral programs differ between faculties. Within SSP, PhD students have the possibility to follow a doctoral program. For FBM PhD students, it is mandatory.

[127] http://www.unil.ch/researcher/home/menuinst/doctorant-e-s/avant/cest-quoi-faire-un-doctorat.html [retrieved 16.06.2015].

[128] http://www.unil.ch/researcher/en/home/menuinst/doctorant-e-s/pendant/programmes-doctoraux.html [retrieved 16.06.2015].

Because of these differences, doctoral students are organised in two different ways within the two faculties. In FBM, doctoral students have their own doctorals programs[129] organised by the faculty with one director from the FBM faculty (a woman). In SSP, there is no program organised within the faculty. The doctoral program is mainly organised by the "CUSO" (*Conférence Universitaire de Suisse Occidentale*)[130] on the basis of disciplines or thematic fields and each program is shared with other universities from the French-speaking region of Switzerland.

Jobs & wages potential for PhD students within SSP and FBM

Looking at the opened positions into which newly qualified PhD graduate would normally be recruited each year, opportunities for PhD graduates within the two departments seem quite good. In 2012 and 2013, there was more than one position opened for two young doctors. But in the past few years, the SSP and the FBM departments have adopted some restrictive regulations on the "re-employment" of local candidates after they have received their doctorate. PhD students have five years to obtain their PhD (i.e. a 60 month employment contract, usually broken down into several shorter periods, with renewal based on PhD progression). After those five years, they can't be directly reemployed within the UNIL and have to work in another institution for at least one year, before they can be eligible for a new position at the UNIL.

Table 19. – N of PhD graduations vs. N of job openings on C level per year 2012-2013

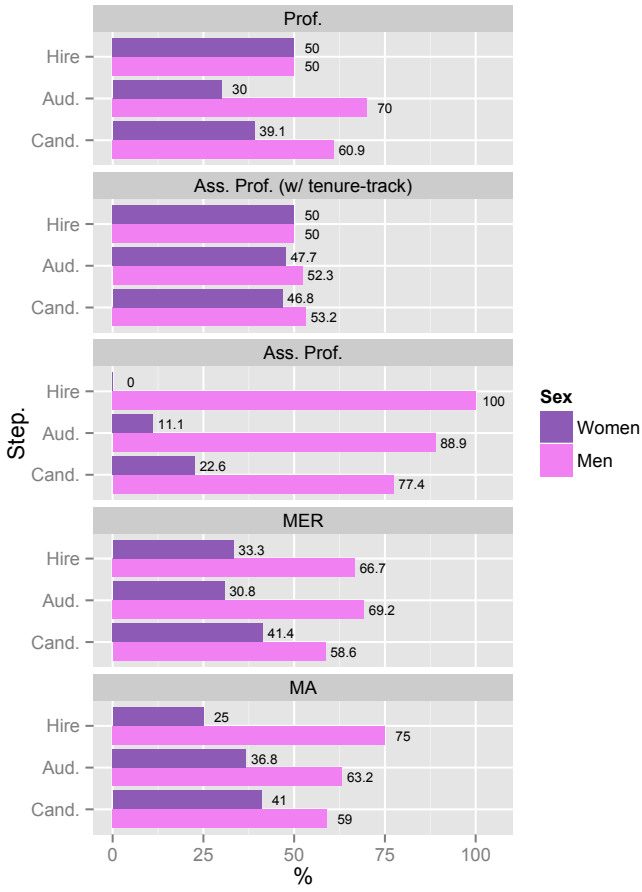
		2012	2013
SSP	PhD graduation	22	27
	Grade C jobs opened	15	7
FBM	PhD graduation	123	133
	Grade C jobs opened	133	81

As noted previously, the recruitment for academic positions (especially on A or B grade) is decided by a small committee of internal and external academic peers and is subject to validation by the Faculty Council. From application to interview and then to final hiring, some steps of this procedure are not public, especially the first step between applying for a position and being invited for an interview. Systematic information at this first level is really hard to find. Nevertheless, because some of the members of our team work on other projects on equality within the SSP faculty, we had access to information concerning the recruitment of academic employees for this faculty only.

[129] http://www.unil.ch/ecoledoctoralefbm/en/home/menuguid/doctoral-programs.html[retrieved 16.06.2015].

[130] http://www.cuso.ch/programmes-doctoraux/ [retrieved 16.06.2015].

Table 20. – Feminisation at each step for academic recruitments in SSP (2013)



The graph based on this partial but precious information shows an interesting phenomenon. Contrary to expectations, inequalities within the recruitment processes seem stronger for the recruitment on MER or MA positions and for the recruitment of non-tenured professorial positions than for the recruitment on tenure track professorial position (Ass. Prof. w/tenure track) and on professorial position (Prof.). For MA, MER or Ass. prof. positions, the feminisation decreases between the "applying" step and the "hiring" step. For recruitments at the top of the academic hierarchy, between the first step of the process and the final recruitment, the feminisation increases even if this increase is relatively small.

Finally, looking at salaries and gender, there are no significant differences between men and women within each category. To be clear, salary differences and inequalities between men and women within the two faculties are mostly mediatised by differences in career chances and by inequalities of opportunity in reaching the top of the academic hierarchy.

Table 21. – Annual salary per year, grades and sex in FBM and SSP in FBM and SSP in 2013

		FBM		SSP	
	Salary (gross)	Women	Men	Women	Men
Other scient. staff	0-20000	2	2	8	1
	20000-40000	12	4	12	7
	40000-80000	72	24	12	9
	80000-120000	33	35	3	1
	120000-160000	4	2	0	0
	160000-200000	0	0	0	0
Resarch Ass.	0-20000	0	0	0	0
	20000-40000	1	1	0	0
	40000-80000	56	40	25	13
	80000-120000	0	0	0	0
	120000-160000	0	0	0	0
	160000-200000	0	0	0	0
Teach. Ass.	0-20000	2	3	0	1
	20000-40000	2	2	0	0
	40000-80000	88	83	79	62
	80000-120000	0	0	0	0
	120000-160000	0	0	0	0
	160000-200000	0	0	0	0
PhD Ass.	0-20000	2	2	0	0
	20000-40000	5	1	0	1
	40000-80000	73	77	8	2
	80000-120000	24	22	1	2
	120000-160000	0	0	0	0
	160000-200000	0	0	0	0
Jun. FNS Research.	0-20000	0	0	2	0
	20000-40000	1	0	3	3
	40000-80000	1	1	2	2
	80000-120000	0	0	0	0
	120000-160000	0	0	0	0
	160000-200000	0	0	0	0

Sen. FNS Research.	0-20000	0	0	1	1
	20000-40000	0	0	1	3
	40000-80000	9	8	4	5
	80000-120000	4	9	4	1
	120000-160000	0	0	0	0
	160000-200000	0	0	0	0
Jun. Lect.	0-20000	0	0	1	0
	20000-40000	1	0	0	0
	40000-80000	0	0	0	1
	80000-120000	4	6	1	5
	120000-160000	0	0	0	0
	160000-200000	0	0	0	0
Sen. Lect.	0-20000	0	0	3	2
	20000-40000	0	0	2	1
	40000-80000	0	1	6	1
	80000-120000	2	1	9	9
	120000-160000	5	21	4	14
	160000-200000	0	0	0	0
Ass. Prof.	0-20000	0	0	0	0
	20000-40000	0	0	0	0
	40000-80000	0	1	0	0
	80000-120000	0	0	1	0
	120000-160000	2	9	0	0
	160000-200000	0	0	0	0
Ass. Prof. w/ tenure	0-20000	0	0	0	0
	20000-40000	0	0	0	0
	40000-80000	0	0	0	0
	80000-120000	0	0	0	1
	120000-160000	3	2	3	4
	160000-200000	0	0	0	0

Prof	0-20000	0	0	0	0
	20000-40000	1	0	0	0
	40000-80000	0	0	0	1
	80000-120000	0	2	1	2
	120000-160000	3	5	4	3
	160000-200000	2	40	11	25

5.3.4 Research projects, research funding.

As for employees or for the funding of faculties, there is no centralised information; every research project is led from within each department of the UNIL. There is no information on the "success rate" of the multiple funding applications made by the employees.

Due to institutional doubts about the "confidential" nature of information on research projects, we had problems to get the list of funded projects in each faculty for year 2013. We finally were given access to the file for the SSH department but not for the STEM department, so that we decided to consult Swiss National Science Foundation database (http://p3.snf.ch/), which proved to be both informative and user-friendly. By this means, we were able to identify research projects funded by the SNSF to members of the FBM. This totally open and public source enabled us to access quite detailed information about approximately 40% of the externally funded research in the Basic science section of the STEM department (see Table 22) and more than 90% of that funded in the SSH department (see Table 23). For more information on the funding categories, see Appendix.

Table 22. – Research projects in the STEM department that started in 2013

Academic position of the lead researchers	Sex	Funding	SNSF - funding category	Title
MER, privat-docent	M	1'200'000	Sinergia	A synergistic approach for the analysis and gene replacement therapy for FAM161A deficiencies
MER, privat-docent	M	595'000	Disciplinary project funding	Maintaining homeostasis of the extracellular fluid: role of the intrinsic renal circadian clocks and other renal mechanisms (II).
MER, privat-docent	F	300'960	Disciplinary project funding	Sensing chemical danger cues via the Grueneberg ganglio
MER	F	300'960	Disciplinary project funding	Isolation and characterisation of genes involved in cuticle formation
Full Professor	M	6'000'000	Interdisciplinary project funding	Targeted Photoablation of Breast Cancer through Urokinase-sensitive Photosensitiser Prodrugs
Full Professor	M	792'580	Disciplinary project funding	Using a new dendritic cell tumor model in the mouse for probing dendritic cell biology and cancer
Full Professor	M	699'222	Disciplinary project funding	Developmental cell biology of the BRX pathway in hormonal regulation and root stem cell regeneration
Full Professor	M	713'880	Disciplinary project funding	Genome transcription and regulatory evolution in tetrapods
Full Professor	M	713'880	Disciplinary project funding	Molecular and cellular basis of recovery during sleep
Full Professor	M	648'441	Disciplinary project funding	Role of microRNAs in pancreatic beta-cell dysfunction and in the development of diabetes mellitus
Full Professor	M	840'000	Disciplinary project funding	The evolution of sex chromosomes: a perspective from amphibians
Full Professor	F	918'000	Disciplinary project funding	Mechanisms of basal and regulated mammalian RNA polymerase III transcription

Full Professor	M	280'000	Agora	Envisioning Bodies. From Vesalius up to now. A half Millennium of Knowledge, Practices and Culture
Associate Professor	M	424'000	Disciplinary project funding	Arabidopsis innate immunity against insect eggs
Associate Professor	M	493'920	Disciplinary project funding	Fibroblasts in secondary lymphoid organs: characterisation of their development and function
Associate Professor	M	621'888	Disciplinary project funding	Linking sleep-wake distribution to peripheral clock-gene oscillations
Associate Professor	M	438'000	Disciplinary project funding	Quantinemo2
Associate Professor	F	343'960	Disciplinary project funding	The development of Leishmania-specific immune response
Associate Professor	F	562'920	Disciplinary project funding	The sleep spindle: from molecular pacemakers to arousal control
Associate Professor	F	638'880	Disciplinary project funding	Analysis of the molecular and physiological function of the protease MALT1
Associate Professor	M	200'000	Agora	The Napoleome
Assistant Professor - Tenure Track	M	511'916	Interdisciplinary project funding	Efficient computational solutions for advanced codon models of natural selection
TOTAL		**18'238'407**		
TOTAL (women)		**3'065'680**		

Table 23. – Research projects in the SSH department that started in 2013

Academic position of the lead researcher	Sex	Funding	Funding source and category	Title	Gender content
Assistant professor - tenure track	M	336'214	SNSF Disciplinary project funding	Academic Elites in Switzerland 1910-2000: Between Autonomy and Power	Yes
Assistant professor - tenure track	F	380'358	SNSF Disciplinary project funding	Switzerland and the Cold War in the Third World. The Swiss Political and Economic Role in the Main Armed Conflicts and Crises in Sub-Saharan Africa and the Middle East, 1973-1983	No
Assistant professor - tenure track	M	171'312	SNSF Disciplinary project funding	The motivational system of career choices: Effects on choice implementation and career success	Yes
Associate Professor	F	402'643	SNSF Disciplinary project funding	Homosexualities in Switzerland, from the end of World War 2 to the AIDS epidemic	Yes
Associate professor	M	55'869	SNSF Disciplinary project funding	Social solidarity: Explaining support for the welfare state among the advantaged and disadvantaged in four European countries	No
Associate Professor UNIGE & MER UNIL	F	183'592 (UNIL) / 369'593 (total)	SNSF Disciplinary project funding	The emergence and reconfigurations of a public problem. Violence against women in Switzerland (1970-2012)	Yes
Full Professor	F	457'801	SNSF Disciplinary project funding	To the test of scandal. Figures of singularity and regimes of visibility in the contemporary public sphere	No

Full Professor	M	379'381	SNSF Disciplinary project funding	Change structure and structure of change: academic curricula production in Switzerland and Bologna reform	No
Full Professor	M	334'024	SNSF Disciplinary project funding	Federalism and Economic Crisis	No
Full Professor	M	1'376'821	SNSF - Sinergia	The Struggle for Competence in Academic Selection: Social Psychological Influences on Competence Threat	No
Full Professor UNIGE & Full Professor UNIL	F	206'782	European Commission	Changing families in sustainable societies : Policy contets and diversisty over the life course and across generations	Yes
Full Professor	F	1'133'605 (total)	SNSF - Sinergia	Other Modernities: Patrimony and Practices of Visual Expression Outside the West	No
Full Professor	M	161'067 (UNIL) / 600'000 (total)	SEFRI (State Secretariat for Education, Research and Innovation)	Integrated service and data center	No
Full Professor	M	60'000	UNIL-EPFL Collaborative Research on Science and Society (CROSS)	Modelling the distribution of knowledge and altitudes in energy issues: A computer simulation and an empirical survey	No
MER	M	179'512	SNSF Disciplinary project funding	Chinese goods' revolution in Africa	No
TOTAL		**6'443'915**			
TOTAL (women)		**2'950'782**			

5.4 Main conclusion

We presented an overview of the financial, management and decision-making bodies of the UNIL and of two faculties (SSP and FBM).

First, we can stress that women are underrepresented at the top of the hierarchy within the UNIL and within each of the faculties studied here. Women are nevertheless present at each

level, and the rectorate of the UNIL is committed to changing this situation through its "strategic action plan."

Secondly, because some data (on employees for instance) is not in the public domain, we faced significant difficulties in finding data on budgets and funding at the Faculty level. From this point of view, the financial decision-making processes within the UNIL appear to be somewhat opaque.

Finally, even though there is an evaluation system in place, academic productivity doesn't have any impact on the wages of the academic staff, which are fixed and standardised by an independent public-sector pay scale. Because of this scale, there is no difference in earnings between men and women when they are hired for the same position.

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APPENDIX

Description of the Swiss National Science Foundation research-funding programmes

Among the different types of funding programmes, our study focussed on:

- **Project funding**, which covers 2 categories (1) all disciplines & (2) interdisciplinary projects: "The SNSF's main funding tool is project funding. A total of approximately 2,500 applications are received each year on two submission dates [...] Funding calls are open to all disciplines and topics; and to both basic and applied research projects. The researchers define their research project and ask the SNSF to cover the direct research costs, such as staff salaries, research equipment and travel expenses."[131]
- **Sinergia**: "The Sinergia programme offers a platform for inter-, multi- and unidisciplinary projects initiated through the collaboration of different research groups [...]. A Sinergia project generally consists of three to four sub-projects under the auspices of three or four research groups."[132]
- **Agora**: "Agora supports researchers from all disciplines and career stages who want to share their results with a wider public. The scheme aims to promote the dissemination of knowledge as well as the exchange of views and perspectives about scientific research. It therefore encourages projects involving two-way processes - with interaction and exchange - which generate dialogues between researchers and the public and / or stakeholders. A project may consist of both small communication formats and large-scale initiatives with more far-reaching goals. Grants of between CHF 5,000 and CHF 200,000 are awarded for a maximum of three years."[133]

[131] http://www.snf.ch/en/theSNSF/evaluation-procedures/project-funding/Pages/default.aspx [retrieved April 28, 2015].

[132] http://www.snf.ch/en/funding/programmes/sinergia/Pages/default.aspx#Participation%20requirements [retrieved April 28, 2015].

[133] http://www.snf.ch/en/funding/science-communication/agora/Pages/default.aspx [retrieved April 28, 2015].

6. ZRC SAZU, LJUBLJANA, SLOVENIA

Authors: Ana Hofman, Duška Knežević Hočevar

6.1 Introduction and data collection

The Slovenian case is slightly different in comparison to other beneficiaries since STEM and SSH Departments are associated with two different institutions: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU) and Biotechnical Faculty, the University of Ljubljana. As a result of that, we made a description of organisational structure, managerial and financial framework and potential gender biases of two organisations (Scientific-research centre of Slovenian Academy of Sciences and Arts and Biotechnical Faculty) and detailed organisational structure of two selected Departments (Institute for Slovenian Language and Department for Agronomy).

SSH: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU)

Data for the following report were collected from 3 main sources:

- Web page of The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU) (http://www.zrc-sazu.si/en) and The Institute of Slovenian Language (ISJFR) (http://isjfr.zrc-sazu.si/en#v)
- Annual reports that are also available on institutional web page (http://www.zrc-sazu.si/sl/strani/letna-porocila-o-delu-zrc-sazu) for the last 10 years and
- Annual statistical reports to the Statistical Office of the republic of Slovenia, that include financial and employee data.

First two sources are available publically, whereas statistical data about employees and budget are available at Research Centre HR Department. Web page presentations and Annual reports include names of the employees (researchers, management, and other employees), their work area and other information (ongoing projects, work place, achievements, awards, etc.), data about research projects and programmes (title, subject, scientific area, hours (FTE), years of research, etc.). Annual statistical reports include only statistical reports and numbers according to gender/education/type of employment and overall finance information.

STEM: Biotechnical Faculty, University of Ljubljana, Slovenia

Data for the following report were collected from 3 main sources:

- Web page of the Biotechnical Faculty (http://www.bf.uni-lj.si/en/deans-office/news/) and its Departments,
- Annual reports that are available on institutional web page but only in Slovenian language (http://www.bf.uni-lj.si/dekanat/porocila/letna-porocila/) for the years 2010-2013 and
- Institutional printed data with employees of the Department of Agronomy from years 2010 to 2013.

First two sources are available publically, whereas statistical data about employees and budget are available at Department of Agronomy HR Department. Web page presentations and Annual reports include names of the employees (researchers, management, and other employees), their work area and other information (ongoing projects, work place, achievements, awards, etc.), data about research projects and programmes (title, subject,

scientific area, hours (FTE), years of research, etc.). Annual statistical reports include only statistical reports and numbers according to gender/education/type of employment and overall finance information.

6.2 Organisational structure, managerial and financial framework and potential gender biases

6.2.1 Introduction to the academic institution and its history

SSH: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU)

The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU) began independent institution in 1981, even though the majority of the institutes under the aegis of the Slovenian Academy of Sciences and Arts had already been operating several decades earlier. More than three hundred associates are organized into eighteen independent but coordinated and interconnected institutes. The diverse research areas can be summed up in the study of cultural, social, and natural phenomena, processes, and practices. The ZRC SAZU's infrastructure includes ZRC Publishing House, the Azil Bookstore, the ZRC Atrium events venue, and the Geographical Museum. Together with the University of Nova Gorica ZRC SAZU offers several undergraduate and graduate academic programmes: *Karst Studies*, *the EU Master's Programme in Migration and Intercultural Relations* (Erasmus Mundus status), and *Cultural History*. ZRC SAZU also founded an independent Postgraduate School ZRC SAZU with a doctoral study programme *Comparative Studies of Ideas and Cultures* that was accredited and recognized in December 2013.

Overall organisational structure

The research network of the ZRC SAZU consists of researchers working at eighteen ZRC SAZU institutes:

- the Anton Melik Geographical Institute,
- Institute for Culture and Memory Studies,
- Fran Ramovš Institute of the Slovenian Language,
- France Stele Institute of Art History,
- Institute for Cultural History,
- Institute of Anthropological and Spatial Studies,
- Institute of Archaeology,
- Institute of Ethnomusicology,
- Institute of Musicology,
- Institute of Philosophy,
- Institute of Slovenian Ethnology,
- Institute of Slovenian Literature and Literary Studies,
- Ivan Rakovec Institute of Palaeontology,
- Jovan Hadži Institute of Biology,
- Karst Research Institute,
- Milko Kos Historical Institute,
- Slovenian Migration Institute,
- Sociomedical Institute.

ZRC also established three regional research stations— the Research station Maribor, Research station Nova Gorica, Research station Prekmurje—which connect the research network across Slovenia from west to east.

STEM: Biotechnical Faculty, University of Ljubljana, Slovenia

The Biotechnical Faculty is an integral part of University of Ljubljana from its very beginnings. More than seven hundred associates are organized into nine departments. Its aim is to provide education at university, as well as to carry out scientific research and technical and consulting work concerning the sciences of living nature (biology, microbiology) as well as agriculture, forestry and fisheries (forestry, animal husbandry, agronomy) and the related production technologies (wood technology, food technology, biotechnology). The departments are further divided into chairs, their internal division is very individual, some of them include only administration, other have also libraries or even centres and institutes.

Overall organisational structure

The organisational network of Biotechnical Faculty consists of researchers working at nine departments:

- Department of Agronomy
- Department of Biology
- Department of Forestry
- Department of Landscape Architecture
- Department of Wood Technology
- Department of Animal Science
- Department of Food Science and Technology
- Department of Biotechnology
- Department of Microbiology

6.2.2 Management structure and practices and institution's visions and strategies

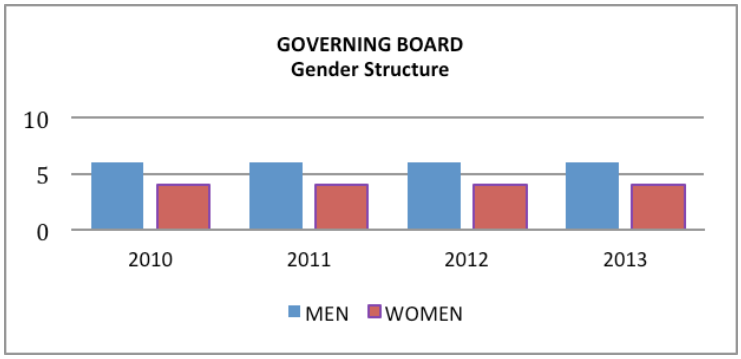
SSH: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU)

Management and gender structure

At the organisational level, we collected and analysed the gender structure of management board and bodies that are involved in managerial and financial decision making of the whole institution from year 2010 to 2013.

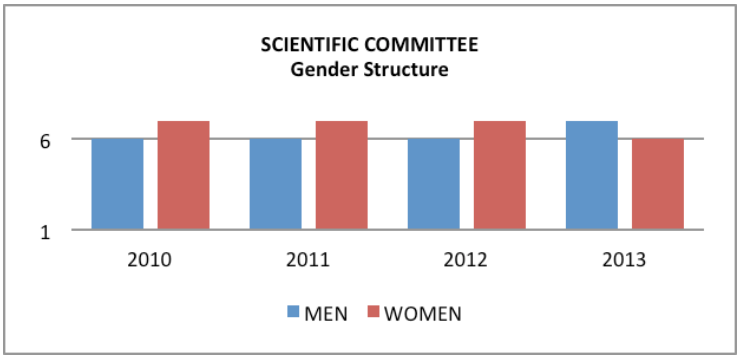
The decisions are made by the Director of the ZRC and 4 Assistant Directors. The Director and Assistant Director's gender member structure has not changed in last four years: the management of ZRC SAZU consists of 5 members, 1 man (Director) and 4 women (Director Assistants).

The ZRC SAZU Governing Board handles and adopts the institute's general acts, programmes, and reports; it adopts the financial plan and decides on the initiatives by the ZRC SAZU Research Committee, appoints the Director, and approves appointment of other senior management and research staff at ZRC SAZU with special authorisation. In last four years, the chair of the ZRC SAZU Board of Directors was man. The member's gender structure of the board has not changed in last four years and it consisted of 4 women members and 6 men members.



The ZRC SAZU Scientific Committee designs the research programme and handles other professional matters of ZRC SAZU. It consists of 13 members.

The gender member structure did not change significantly in last 4 years: it shifted from 7 to 6 women members in 2013 and from 6 to 7 men members. The chair in last 4 years was a man.



The managerial and financial decision-making is made by the ZRC SAZU Governing Board. The member's gender structure of the Board has not changed in last 4 years and it consisted of 4 women members, and 6 men members.

The budgeting decision is merely a technical procedure based on national legislation about financing of public organisations. The Governing Board handles and adopts the Research Centre's general acts, programmes, and reports; it adopts the financial plan and decides on the initiatives by the ZRC SAZU Research Committee. It also appoints the Director, and approves appointment of other senior management and research staff at ZRC SAZU with special authorisation.

Vision and strategies

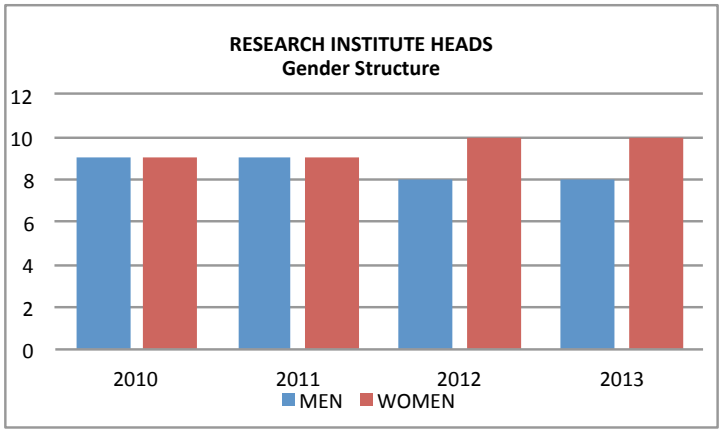
Institutional basic vision and strategy is to conduct basic research as part of national research programmes, national basic research projects, international projects, and excellence centres. ZRC SAZU also carries out a series of applied projects that exceed the narrow orientation of individual specialized areas and make possible valuable links between various institutes and disciplines. Numerous achievements prove that research findings in the humanities are also useful for preserving natural and cultural heritage as well as for finding solutions to concrete problems; the most important achievements include compiling seminal standard and technical Slovenian dictionaries, cultivating, preserving, protecting, and managing authentic elements of Slovenian natural and cultural heritage, and developing strategies for a responsible attitude towards natural, cultural, and living heritage (e.g., environmental impact studies, vulnerability studies, water-resource management, providing professional support in building infrastructure and motorways, developing methodology and prevention or intervention programmes for the mentally handicapped, and enforcing EU heritage-protection policies). These basic and applied research projects are supported by the materials that our associates have been collecting for decades as part of the Natural and Cultural Heritage of the Slovenian People programme; this programme is one of the founding tasks of ZRC SAZU, which it carries out together with the Slovenian Academy of Sciences and Arts.

Gender equality

The Research Centre is a public organisation and follows national equal opportunities policies and non-discriminating employment policies. ZRC SAZU also signed two documents that determine the area about gender equality:

- European Charter for Researchers and
- Code of Conduct for the Recruitment of Researchers.

The gender structure of Heads of research institutes has changed only a little in last 4 years; in 2013 there were 10 women Heads of research institutes and 8 men Heads of research institutes.



The national legislation about public financing and public and legislation on civil servants prevents a wages gap between men and women employee.

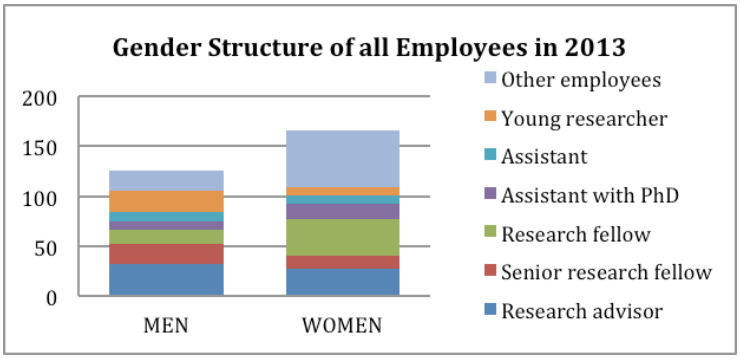
The gender structure of all employees

Researchers

In 2013, there were 105 men researchers, compared with 121 women researchers. However, the highest research positions are held by more men than women researchers: on the highest research position – Research Advisor were elected 32 men and 28 women research advisers; the Senior Research Fellow was obtained by 20 men and 13 women researchers. Other research positions, such as Research Fellow were held by 14 men and 36 women Research Fellows. There were 9 men Assistants with PhD and 15 women Assistants with PhD and 9 men and 9 women Assistants. The biggest gender difference was seen at the Young Researcher's position: there are 22 men Young Researchers compared with only 8 women young researchers in 2013.

Other employees: gender structure of other employees did not changed significantly in last 4 years. There are 9 men and 34 women professional staff, equally 10 men and 10 women technical staff, 1 man and 4 women in the management and 9 women other staff.

Overall, in 2013 there were 125 men and 178 women employees at ZRC SAZU.

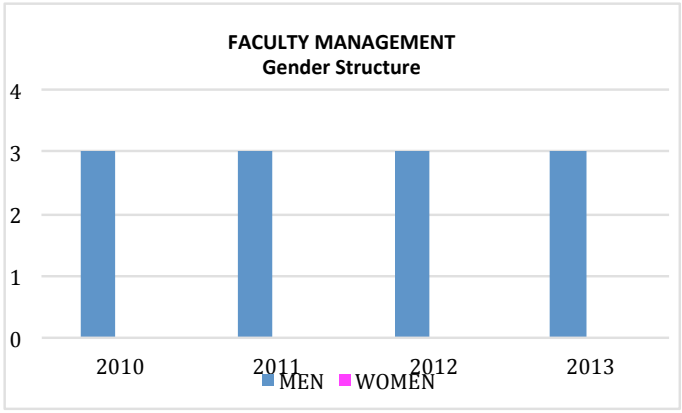


STEM: Biotechnical Faculty, University of Ljubljana, Slovenia

Faculty management and gender structure

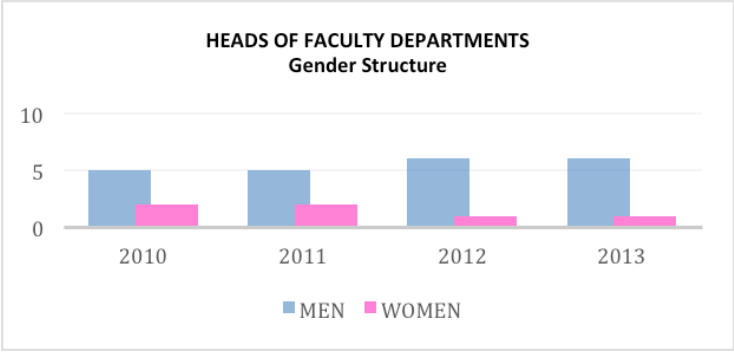
At the faculty level, we collected and analysed the gender structure of management board and bodies that are involved in financial, employment, and decision making of the whole institution from year 2010 to 2013.

The decisions are made by Dean and 3 Associate deans. In compared years from 2010 until 2013, the gender structure of the management did not change. The Dean and Associate Deans were all men.



There are seven (7) Faculty Departments:

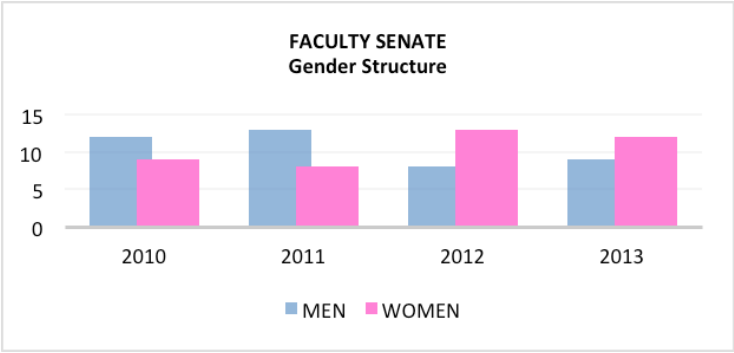
- In 2010 and 2011 the Heads of Departments were 5 men and 2 women;
- From 2012 to 2013, the Heads of Departments were 6 men and 1 woman.



The Faculty senate makes decisions about study programmes, master and doctoral theses, elects members into teaching titles, adopts regulations on study, etc.

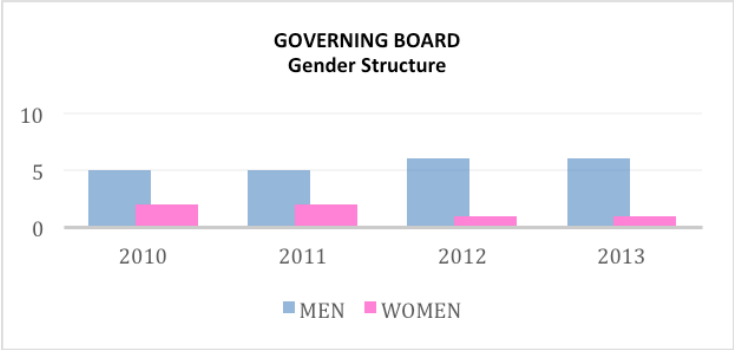
The gender structure of the Faculty Senate changed in favour of greater representation of women in compared 4 years:

- In 2010, there were 9 women and 12 men represented in Faculty Senate,
- In 2011, there were 8 women and 12 men and
- In the period from 2012 to2013, there were 13 women and 8 men represented in Faculty Senate.



The gender structure of the Faculty Governing Board, which make decisions about all financial affairs changed in favour of greater representation of men in the compared 4 years.

A man leads the Board in all four (4) compared years. In years 2010 and 2011, there were 5 men and 2 women members, from the 2012 there is 1 woman left and 6 men members.



Vision and strategies

The fundamental vision of Biotechnical Faculty is to study natural resources and the sustainable management thereof. Research and education in life sciences and nature confers on the Biotechnical Faculty a considerable share of responsibility regarding the creation of the relevant professional and scientific foundation and the promotion of a social atmosphere that ensures the sustainable and harmonious cohabitation of man and nature.

Structure of all employees

In 2013 there were 566 employees. Overall gender structure is not available. Among pedagogical workers there were 49 Full Professors, 30 Associate Professors, 30 Assistant Professors, 7 Lecturers, 95 Assistants, 2 Teachers. There were also 263 non-pedagogical employees plus 64 Young Researchers and 26 scientific collaborators.

6.2.3 Financial framework of the academic institution with regards to funding

SSH: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU)

The Research Centre is mostly publicly funded.

- Approx. 86.5% of governmental funding comes from Slovenian Research Agency, communities,
- Approx. 6% of the annual budget comes from private companies and
- Approx. 7.5% (and rising) from EU funds.

Funding is based on research projects and research programmes.

Every research project/programme, which is publically funded, funded from EU funds or private organisations, has a contract including budget for appointed years of research.

The contracts are based on years of research project/programme and budget provided in the public call for research projects/programmes.

Performance indicators (research performance indicators, bibliographical indicators, etc.) are measured and published on SICRIS (Slovenian Current Research Information System), as well

as in Annual reports of Research Centre that is also publically available at its web page. SICRIS is the database of research institutions and individual researchers which is developed and maintained by the Institute of Information Science (IZUM) in Maribor and the Slovenian Research Agency (SRA). It also serves as a basis for quantitative evaluation of research excellence by the Slovenian Research Agency.

Every research institution and individual researches have theirown research numbers and personal record in the system. It currently includes 6 clusters: Research Activity, Bibliography, Citations WoS/Scopus, Engagements, Projects and Programmes. Research excellence is mensured on the first three performance indicators of *Research Activity*, *Bibliography*, *Citations* in accordance with the rules of Slovenian Research Agency (http://www.sicris.si/public/jqm/cris.aspx?lang=eng&opdescr=home).

Autonomy or central planning

ZRC SAZU has the autonomy according to national legislation about public (research) organisations and according to national legislation about public financing and financing of public research projects. Labour costs and the cost of reimbursement to employees are based on national legislation of public (research) organisations and legislation on civil servants. Each research institute is founded mainly from its research projects/programmes. Number of employed researchers depends on ongoing research projects/programmes.

Information about obtained and ongoing research projects are available on Research Centre's web page, web pages of research institutes, as well as described in Annual reports that are available on institutional web page for the last 10 years. Annual reports are in Slovenian language, but each chapter has an English summary.

Information about research projects as well as about researchers of each ongoing and past research projects are publicly available on SICRIS web page, where also other indicators are available (research performance indicators, bibliographical indicators, etc).

Transparency of funding

Information on the funding is shared within Annual reports that are available on Research Centre's web page. Annual reports are in Slovenian language, but each chapter has an English summary.

Other reports that include more detailed information about funding, expenses, and employees are Annual reports for the Statistical Office of the republic of Slovenia.

The Statistical Office of the Republic of Slovenia collects the data from all national and private (research) organisations and publishes them in annual reports and databases, all available also on their web page.

The budget setup is transparent and annual financial reports are available in Annual reports of research institute. Budget setup is discussed and accepted within The Board of Directors of all research units and then reported to all the funders and Statistical Office of the Republic of Slovenia, which collects the data on a national level and publishes them in national annual reports. These reports also include gender data.

Funding is linked to the number of research projects obtained and researchers employed within each research unit. The success at governmental call for research projects (from Slovenian Research Agency) depends on governmental research policy and national budget

planning, but several conditions must be fulfilled – mainly about researchers' performance indicators (bibliographical indicators, citations, etc.).

STEM: Biotechnical Faculty, University of Ljubljana, Slovenia

The Biotechnical Faculty is mostly publicly founded.

- Approx. 52.50% of funding comes from the Ministry of Education (for pedagogical work),
- Approx. 23% of funding comes from Slovenian Research Agency (research projects and research programmes),
- Approx. 8.6% comes from private companies (market activity),
- Approx. 4.8% of all funds is from EU funds (international projects),
- Approx. 10% is from other activity (professional activity).

Funding is based on teaching activity and research projects.

Three interviews were conducted in March 2015 with the Dean of the Biotechnical Faculty (I1, man), the Assistant Secretary of the Faculty – Head of Finance (I2, woman), and the Head of the Department of Agronomy (I3, woman). Bellow summaries include: (2) Funding to the institution, (3) Allocation of funding within the institution/department, and (4) Performance indicators.

Ad 2) Funding to the institution

The faculty is funded for pedagogical work directly from the budget, i.e. from the Ministry of Education, Science and Sport through the University of Ljubljana to the Faculty. The scientific-research work is funded indirectly through the projects' calls published by the Slovenian Research Agency, which funds basic (included postdoctoral) and applicative research projects and research programmes. The same applies for the target research projects co-financed by the Ministry of Agriculture, Forestry and Food, and the EU funded projects. Collocutors assess that the faculty seeks to maintain the extant share of public funding (both for pedagogical and scientific-research work) and to increase the share of third-party funding, which is now estimated at 10% at the Faculty level. Collocutors stress that this share of funding was much higher in the past. Now, it is much lower and it is a consequence of demolished national timber industry, food-processing industry and forestry. Therefore, the share of co-financed applicative projects by the Ministry of Agriculture, Forestry and Food is lower as well. Biotechnical Faculty is one of the rare members of the University of Ljubljana with its own market products. Owing the land estates and cattle, the Faculty provides kindergartens and elementary schools with fresh vegetable and fruits (via public orders) and meat industry with certain volumes of meat. Thus, the Faculty employs also technical workers who take care for estates and cattle. I3 believes that the University of Ljubljana does not approve with the idea to support such activities since they are not directly related to academic work.

Ad 3) Allocation of funding within the institution/department

According to the interviews with the key players, funding the Faculty for pedagogical work by the University is centrally allocated. Therefore, the Faculty has some minimal or no autonomy in this regard. The value of an abstract pedagogical hour is determined according to the number of enrolled students, the number and nature of study programmes, etc. All interviewees agree that gender does not play any role in the distribution of funding and

decision-making. The main decision-maker at the Faculty's level is the Governing Board whose membership consists of the Chair of the Board and 7 Heads of Departments.

All collocutors assess that the allocation of funding within the Faculty is not based on any incentive-based budget system. I2, however, remembers that used to there were 'adjust accounts' at Departments with which the most successful (as to the number of diplomas and projects obtained) Heads of Departments were awarded. Finally, I3 emphasises that the Faculty and Department funding is related to the systemised working position of an employee, which produces inequalities among the employees of the same order: "You may be appointed a Full Professor, but you work on a position of an Assistant with PhD. This is worse problem than gender differences."

Ad 4) Performance indicators

Interviewees agree that efficiency of academic staff is evaluated by the Criteria for Appointment to the Titles of University Teacher, Researcher and Associate at the University of Ljubljana, the students' evaluation of pedagogical staff and the science excellence criteria imposed by the Slovenian Research Agency through the SICRIS system of evaluation. Additionally, until the introduction of the Act on Balancing Public Finances (ZUJF), academic staff has also been evaluated by the methodology for the evaluation public employees.

6.2.4 Interview with key players at an institutional level

SSH: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU)

Interview was conducted on 5th March 2015 with Assistant Director for economics and finance (woman, 49).

Ad 1) Institute's visions and strategies

The interviewee sees the role of its institution as serving the larger society. According to her opinion, successful researchers, who are able to compete for project funding and gain it at public competition, play the key role. However, in order to do that, they need support from inner institutional administration during the entire process: from the very application for projects, their gaining, carrying out and finally closing in all of their aspects. The administration provides support regarding financial aspects, national laws and regulations, project documentation. All that demands a lot of flexibility and know-how. She backs up her argumentation with the case of successful introduction of international cooperation office at ZRC SAZU in the last couple of years.

Indicator of success for her is number of publications as the consequence of good research work. They bring reputation to the home institution and promote it in scientific community. Good work is achieved by competitiveness, which relies on the sense of belonging, loyalty to home institution and strong work ethics. Good research funding is the condition for good research results, which add to the reputation of the ZRC SAZU as the whole and not to individual institutes or individual researchers. However, this reputation unfortunately does not have effects on funding. She mentions in the interview two examples of world breakthrough scientific discoveries of ZRC SAZU researchers like the achievement of Ivan Šprajc, who recently discovered the ancient Maya city hidden in the jungle for centuries, or the discovery of 'giant' orb web spider in South Africa by Matjaž Kuntner. While echoed in world scientific community these discoveries did result in any additional funding by the state: "So far there was no case that such a discovery would resulted in a telephone call from an

official from the Ministry of Science. 'Wow, this is great. We will give you more money to research this further!' Unfortunately."

Vision for the future is to secure research funding in a more stable way by changing Slovenian state project and programme funding in the future into more stable and permanent funding with only minor part of flexible funding: "I think this would create a secure basis. And this is crucial. I think we would be much more successful, that output would be bigger, because now a lot of time is lost with applications for the projects, a lot of energy is wasted, a sort of nervousness accompanies all this..."

Gender issues are not part of the policy of the institution as far as she knows. For her the issue are Young Researchers regardless of their gender. The issue is to stop Slovenian brain drain. She does not know any strategies of gender budgeting while she admits that she had contemplating about and planning to implement the project of family friendly business environment.

Specific goals of ZRC SAZU and monitoring of the progress depend from Heads and policies of particular institutes. She concentrates in the interview in this regard on the role of inner administration of ZRC SAZU in all that, while talking about evaluation of members of this administration. Annual evaluation of the latter, of their good and conscientiousness executing of their tasks, their self-initiative, creativity, accuracy, cooperation, additional knowledge by grades from 1 to5 (1 being insufficient, 5 excellent), was so far in domain of the Director of ZRC SAZU, last year he delegated this role to Assistant Directors because they supposedly know better their colleagues at work.

Key players with regard to policy making are on the one hand institutes, their Heads, members and scientific committees, and on the other Director with his four (from last year two) Assistant Directors, Board of Directors and Scientific Committee. Our interviewee is an Assistant Director. The strategic decisions for the entire ZRC are taken by Board of Directors. All departments or institutes have their representatives in the process, both men and women are part of it: "Heads of institutes are responsible by statute of ZRC SAZU for business and other operations of an institute, which means that they decide about human resources and financial policy concerning the Institute. Regarding the administration of ZRC SAZU, the Director is the decision maker, his decision making is backed up by our expertise, advice, but the decision is always his." While each of Assistant Directors is responsible for her domain, it is the Director who authorises others for specific tasks and domains, i.e. the interviewee is authorised to decide who and when needs various courses.

Ad 5) SSH & STEM

The number of postgraduates and PhD graduates is not mentioned in the interview at all. However, there is talk about number of sustainability of researchers at the ZRC SAZU and the possibility to get a job after young researcher period: "For the young after they obtain PhD, the only solution is to be included in new research project, which are within the purview of the institutes. Unfortunately the funding for the programmes is limited, and if we would obtain more stable funding, it would still be within certain limits, we obtain each year five new Young Researchers. That would mean that we would have constantly to expand, on the other hand it is also questionable how this inbreeding… I think it would be fine when you defend your thesis that you go somewhere else where you can get some experiences and then maybe you eventually come back, but this our rigidity…". The interviewee does not see a systemic solution, but thinks that perhaps for a certain period the funding of Young Researchers should be stopped and funds transferred in favour of those who just finished

their young research formation: "The state produces annually 150 new Young Researchers, who can hardly get a job in their fields, because there is simply no money."

The obligations of PhD students or Young Researchers are not mentioned.

The obligations of postdoctoral researchers are not mentioned.

Regarding equal opportunities, she thinks that working environments should be balanced in the administration as well as in research. There are only two men employed in the administration of ZRC SAZU: "The most sadly here at ZRC SAZU is for me to see how women are harsh to other women. They are much more than they would be to a man."

In the administration field, all the contracts are permanent. Her personal view expressed in the interview, however, is that one tends to get lazy when permanently employed, this pertains to human nature as such, while we are here to do our job well and we do not tolerate that somebody does not do his or her job well. Generally speaking, the number of all employees decreased in 2011 from 340 to 315, which is a lot, and which is one of the rare sectors of public sectors where this was the case. This reduction was at the expense of young researchers and retirements.

STEM: Biotechnical Faculty, University of Ljubljana, Slovenia

Interviews were conducted in March 2015 with the dean of the Biotechnical Faculty (I1, man) and the Assistant Secretary of the Faculty – Head of Finance (I2, woman).

Ad 1) Institute's visions and strategies

The Dean of the Biotechnical Faculty believes that the Faculty has the central role at the national level. Together with 7 Departments and 9 study programmes, the Faculty combines basic knowledge on forestry, agronomy, landscape architecture and biosciences. The Faculty aims at having the central role in the SE Europe, and in the country as a prime knowledge producer for agriculture and food.

The dean prefers research funding as the prime indicator of success since the Faculty gets direct budget funding only for teaching. Therefore, the number of research projects is also important, which is related to citations, patents and publishing in the scientific journals with high impact factors. Indicator of success is also a number of awarded diplomas by the University of Ljubljana and a number of third party projects. The number of doctoral students is to be the indicator of success but since the substantial reduction of co-funded doctoral study programmes by the state this number has been halved; now, the prevailing form of doctoral student is a young researcher.[134]

[134] Young Researcher programme was introduced in 1985 to prevent Slovenia from lagging behind in scientific and technological development. The main goals have still remained the same: to renew and rejuvenate the research personnel in research institutes and universities, and to educate qualified professional research staff also for industry and other non-academic institutions. Young researchers are employed for a specified period and they have salaries, cost-covering scholarship and material expenses, including small equipment. Besides the post-graduate studies, they work on basic and applied projects or programmes, and within the period of training and education at home they can also study abroad (from 1 to 12 months). Recently, the Slovenian Research Agency has introduced some novelties: young researchers for business sector, public call for mentors of young researchers instead for applicants, thematic oriented public call by priorities of Government, and possibilities for applicants of young researchers from foreign countries (also for post-doc applicants).

The most important indicator of Faculty's success remains publishing of scientific articles in the most influential world journals such as Nature and Life, which according to I1 and I2 increases the possibilities of getting national and international research projects. In other words, to put it with I2: "Without articles published in indexed journals and citations, there are no projects. Work ethics is meaningless without such publishing."

Dean stresses that the faculty, which is explicitly oriented to professional and at the same time scientific topics, suffers from the kind of 'bipolar disorder' as to research and teaching. Biotechnical Faculty combines both forms of knowledge: knowledge related to professional study programmes (e.g. forestry, agronomy, animal science, wood technology), and academic study programmes (e.g. genetics, microbiology, biotechnology, etc.). Therefore, the Faculty educates both profiles: a scientist from genetics and an expert for machine mechanisation: "As the faculty management, we seek to balance both fields professional and scientific. Difficulties appear when following the criteria of research excellence professional activities are reoriented towards scientific activities. These criteria favour science compared to other professional or developmental activities. The same applies for the criteria for pedagogical compared to research promotion." (I1).

I2 even believes that after the Slovenian independence in 1991, and particularly after the introduction of the Bologna study system in 2007, development in general has not been controlled and harmonised. Some Departments are very well developed (e.g. bioscience) as a consequence of established system for evaluating science excellence while others (more professionally oriented) are dying away irrespective of the 'real needs' of Slovenian economy.

According to the Dean, in the last decade, there is a visible trend of various kinds of criteria that promote and favour publishing in the high indexed scientific publications. Everything else is poorly valued. However, such publications are a prerequisite for obtaining national and international research projects. Therefore, the Faculty management defines its specific short-term goal – the increasing number of scientific articles in "publications with the highest world impact factors" (I1).

Discussing management at the faculty level, the dean exposes the 'noise' between the autonomy of Departments and supervision of the Faculty. He understands the Faculty governing of in a sense of coordination of Departments and maintenance of accreditation and reaccreditation of study programmes on all study levels. However, Heads of Departments who have obtained the status of Vice-deans control better the diversity and variety of study and research fields. In this view, the Departments are autonomous but controlled by the centralised personnel and accountancy offices at the Faculty level; in the past, Departments had their own personnel and accountant offices. Work plan of each Department is approved by the Governing Board of the Faculty, which membership consists of all Heads of Departments and the Chair of the Board; a Dean is not a member of the Board. Because of decreasing national research funding and increasing interest for international project applications in recent years, the Faculty has opened the office for international collaboration. However, remains the dilemma whether to employ a person to deal with the project applications only, or not. Departments are so diverse in their research interest that such a person would probably not be competent to handle a variety of calls and topics, but only the formality issues.

Systematisation of working posts in a single Department is recognised by the dean as a main culprit of disharmonised working position and academic title: there are several cases when a

Full Professor works in a position of an Assistant with PhD. Governing Board of the University is the institute that may approve or reject the Faculty's proposals about the new systemised working position of its Departments. Now, the Act to Restore Public Finances prevents the University of Ljubljana to approve new systemised working posts irrespective of the needs of particular Faculty's Department.

According to I1 and I2, gender issue is not explicitly involved in the policy of Faculty. The dean emphasises that the gender issue was raised this year for the first time by the woman professor granting the Jesenko award. She insisted that gender quotas were necessary. The dean disagrees with her, stressing that the equality between genders is more important than introducing the quota system. I2 adds that the Faculty management is indeed men oriented while several other Faculty's commissions are domains of women.

The Faculty monitors the progress through the Commission for the Self-Assessment of the Quality of BF, which evaluates accreditations and reaccreditations of study programmes.

Finally, the dean explains that major decisions on teaching are taken by the Senate of the Faculty, which is gender balanced and includes academics from all Departments. According to him, this is a two-way decision-making process: 'The membership of Departments' senate is informed about the proposals and initiatives established on the top. They discuss the initiatives, take their decision and inform the top, the Faculty's senate. Decision-making is thus a two-way process, from top-down and the other way round. Actually, there are more initiatives proposed from bottom-up.'

I2 assesses gender ratio in decision-making bodies quite differently insisting that the shares are 70% vs. 30% in favour of man decision-makers.

Ad 5) SSH & STEM

As the Dean stressed, the number of PhD students, who are not the Young Researchers, substantially decreases since the government has reduced co-funding of doctoral study programmes. He regrets that the number of PhD students is not harmonised with the needs of labour market. Currently, the majority of PhD students are those who obtain the status of Young Researchers. However, when they complete the study, there is no assurance to stay at the Faculty, and unfortunately, they also have poor chances to get a job since they are overqualified for the majority of working posts in Slovenia.

I1 and I2 believe that PhD students who are not Young Researchers do not have working obligations that are not required in the contract. Young Researchers who get salaries are to be those who are sometimes involved in teaching, but only within defined hours per year, which is determined by the Slovenian Research Agency. Postdoctoral researchers also get their salaries and according to I1 and I2, they do not have any unpaid obligations. Moreover, the Dean believes that there are more often opposed situations when the postdoctoral researchers use for their research costly laboratories which are not equipped from the funds for postdoctoral researchers, but are funded from research programmes or funds obtained by the Faculty. I2 even believes that PhD students should be grateful for the opportunity of teaching in order to acquire valuable experiences before teaching becomes their regular occupation: "Anyway, this is a valuable opportunity to get know-how. They never know when they have to give a lecture or get a teaching subject. Some of them got the subjects from their professors, and had to go to the class without any teaching hours" (I2).

I1 assesses that both men and women have equal opportunities and access to teach and research in all scientific fields. Yet there are study programmes that are 'traditionally' more interesting for men (e.g. forestry) or woman (e.g. microbiology) students.

The number of temporary contracts increased after the introduction of the Act to Restore Public Finances from 2012. According to this Act, the Faculty cannot replace the retired academic stuff with the new employees. I1 and I2 see the Act as the main culprit, which prevents reproduction of the Faculty personnel. Therefore, the temporary contract becomes the prevailing form of employment of academics at their early stage of career. Because of forbidden replacement of retired professors by young personnel 'older' staff has remained at the Faculty. Their retirement would endanger the research groups or programmes, which are funded according to their excellent members. I2 even believes that the Faculty maintains unemployment of Young Researchers in the country because it educates the experts (PhD students) who have poor prospects for any kind of employment.

Discussing gender structure of PhD students, I2 considers that there are more women than men in the majority of Departments. I1 agrees, except in cases where there are 'traditionally' more man-oriented studies as in forestry or wood processing. Assistant Professors are as a rule permanently employed. However, even their working positions are dependent on the nature of their teaching subjects being either mandatory or optional. If there is insufficient number of enrolled students (less than 10) and the Assistant Professor does not obtain the research project or is not included in the funded research programme, they may lose their job position even though they have permanent labour contracts.

Principally, all employees should be equally supported by the Faculty's services. However, the image in reality is quite different. Dean regrets that Full Professors are better supported than lower ranked academic staff.

6.3 Gender composition of decision-making bodies and decision-making processes

6.3.1 Short introduction

SSH: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU)

The Institute of Slovenian Language (**ISJFR**) was established in 1945 for the purpose of compiling linguistic materials and using them for the creation of basic Slovenian language resources: a dictionary of orthography and pronunciation; a dictionary of standard Slovenian; descriptive and historical studies in linguistics; an historical-onomastic dictionary; an historical-topographical dictionary; a linguistic atlas; monographs on texts in various dialects; and phonogrammic archives of dialects. The ISJFR has been re-organised several times. Since the establishment of ZRC SAZU in 1982, it has included four sections for lexicological, etymological-onomastic, dialectological and terminological dictionaries. In 1986 the Institute was named after its first head, Academician Dr Fran Ramovš.

The Institute's basic research into the Slovenian language both past and present and the extensive compilation of materials, which are unique in, are important for the development of linguistics here and at an international level. Research results are also useful in various professions. It consists of 6 sections. Each has its head and research employees:

- Lexicological Section
- Etymological-onomastic Section

- Section for Historical Dictionaries
- Dialectological Section
- Terminological Section
- Corpus Laboratory

STEM: Biotechnical Faculty, University of Ljubljana, Slovenia

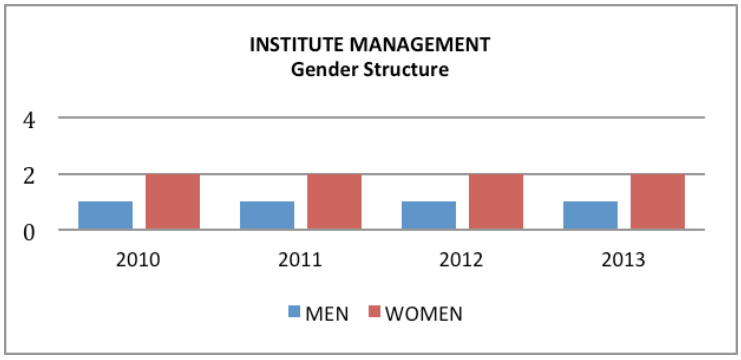
The pedagogical and research staff at the Department of Agronomy (Biotechnical Faculty, University of Ljubljana) performs extensive fundamental, applied, and developmental research work. The main research challenges are focused on the structure and function of agroecosystems in different pedoclimatic conditions, on the soil from the point of its composition, properties, fertility, water regime, and pollution, in order to facilitate agricultural production and sustainable management of agricultural land, to advance knowledge in the fields of botany, zoology, microbiology, genetics, plant breeding, plant protection, agrometeorology, and agrotechnology and apply them in sustainable agricultural production, to develop and improve agricultural technologies and implement them in the sustainable production, to preserve the population of rural areas and activities such as crop production, grassland and pasture management, fruit, viticulture and vegetable production. The research team from the Chair of Phytomedicine, Agricultural Engineering, Field Crops Production, Pasture and Grassland Management, which would like to join to the CORE Organic Plus, has extensive research experience and interests in environmentally acceptable practices of crop management and plant protection. Recently, they have been mostly investigating natural resistance (glucosinolates, epicuticular wax, colour) of vegetables and field crops to insect pest attack, testing different environmentally acceptable methods in controlling field crop pests (wireworms, Colorado potato beetle, cereal leaf beetle, thrips etc.) under field (such as biofumigation, intercropping, wood ash, essential oils etc.) and laboratory conditions, studying the occurrence and efficacy of indigenous beneficials (such as entomopathogenic nematodes and fungi, parasitoids, predatory mites etc.) in controlling important pests of cultivated and wild-growing plants, testing the potential synergism between environmentally acceptable control methods. In the field of phytopathology, they are studying the distribution and economic impact of Fusarium species on winter wheat. In a connection to grassland management, the group investigate the specific relationships between grass sward and soil parameters on sown and native grasslands, as well as the interactions between grazing animals and herbaceous plants on karst pastures. In general, the research team has a lot of research experience and achievements in investigating the interactions between the organisms and other elements in agro-ecosystems.

6.3.2 Women and men pursuing their career

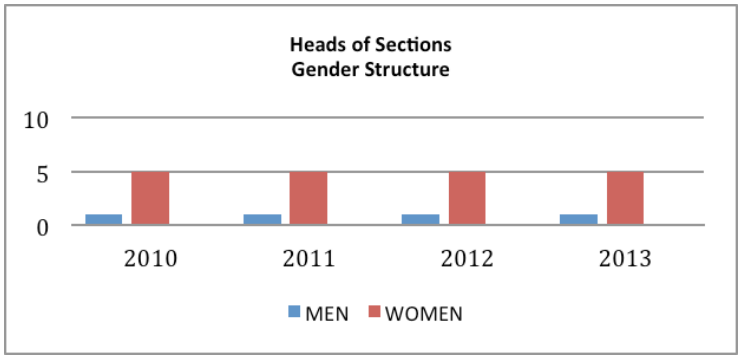
SSH: Institute of Slovenian Language Fran Ramovš (ZRC SAZU)

The gender structure of all ISJFR employees did make a slight progress to more gender equal structure: from 12 men in 2010 to 14 in 2013 compared with 36 women in 2010 and 30 in 2013.

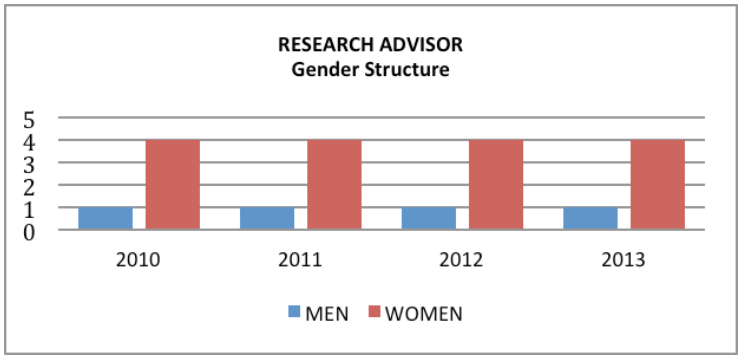
The decisions are made by the Head of the research institute and its deputy. In last 4 years, the Head of the ISJFR was a man and its deputy were 2 women (All from 2013).

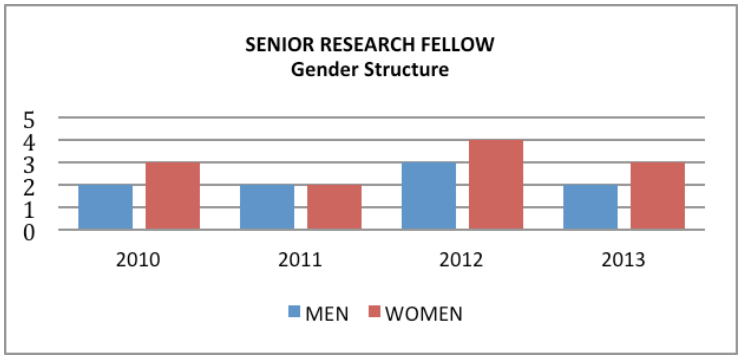


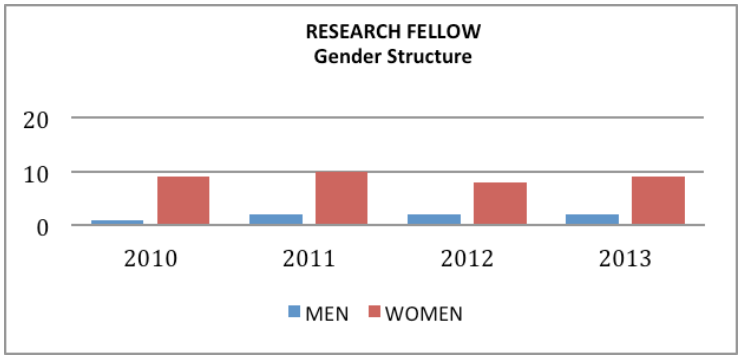
ISJFR consists of 6 sections and each has its Head. There were 5 women Heads of Sections and 1 man Head in all compared 4 years.

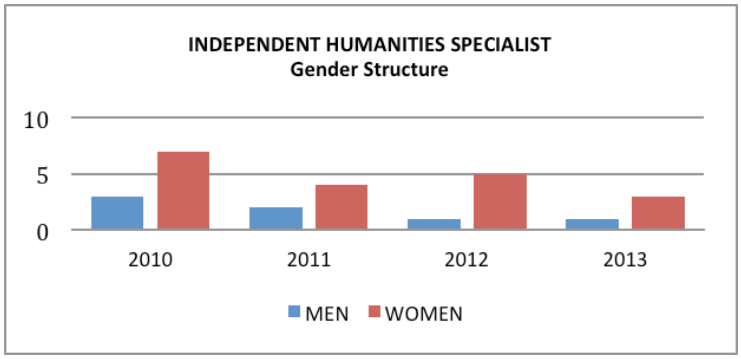


The gender structure of all ISJR employees according to research positions is shown in the tables bellow.








INDEPENDENT HUMANITIES SPECIALIST
Gender Structure
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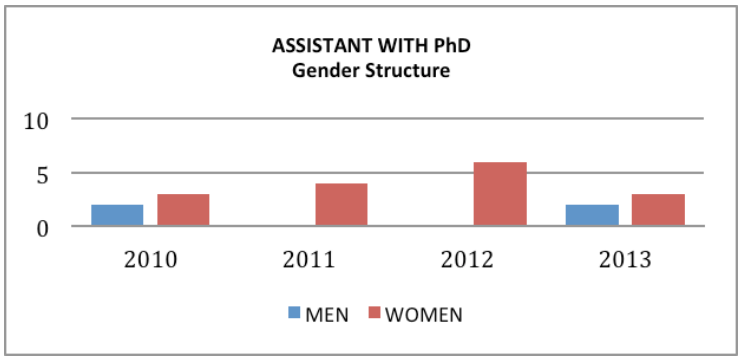
ASSISTANT WITH PhD
Gender Structure
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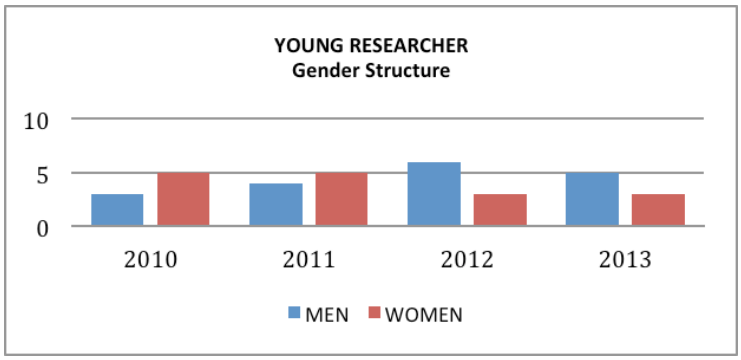
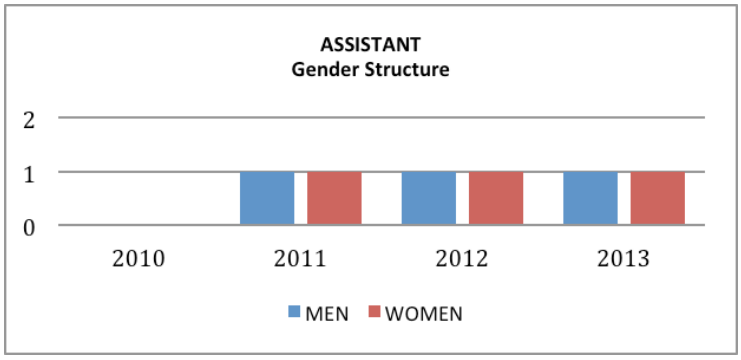
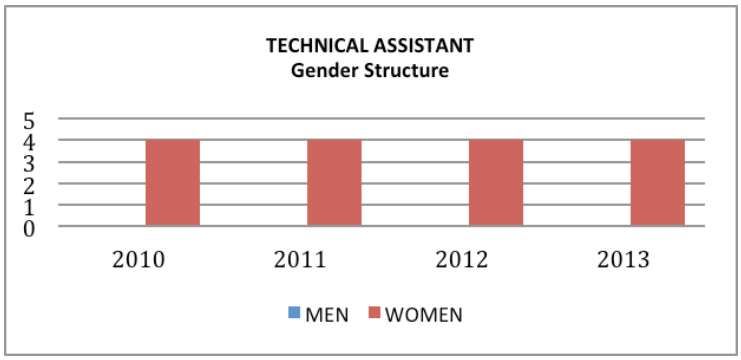
MEN
WOMEN


YOUNG RESEARCHER
Gender Structure
10
5
0
2010
2011
2012
2013
MEN
WOMEN





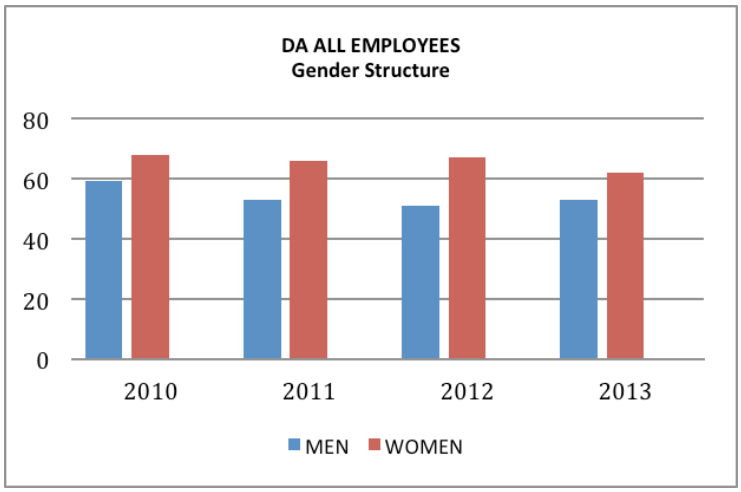
The employees in the Institute are predominantly women. That is also the reason why mostly they occupy the highest research positions: in all compared years, Head of Sections were women (5:1). Women occupy majority of positions: in 2013, there were 4 women Research Advisors and 1 man, 3 women Senior Research Fellows and 1 man and 9 women Research Fellows and 2 men, while at lower positions the ratio was smaller (3:1 Independent Humanities Specialists; 3:2 Assistant with PhD; 1:1 Assistant). With two interesting exemptions: in 2010 and 2011 there were more women than men Young Researchers (5:3, 4:3), while in 2012 and 2013 there are more men (6:3, 5:3). In all compared years Technical Assistants (the lowest position) are women.

STEM: Department of Agronomy (DA), Biotechnical Faculty

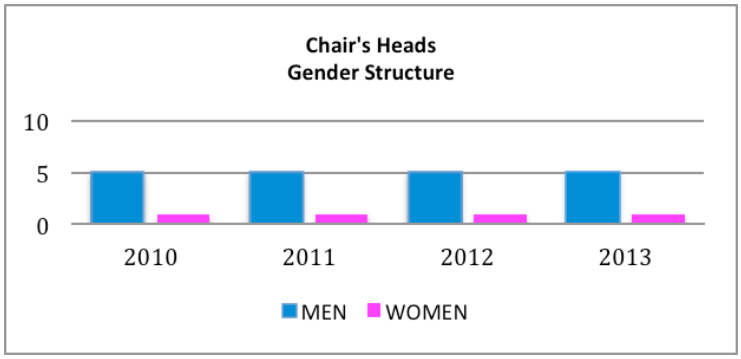
Department of Agronomy (DA) provides university level, advanced professional, and postgraduate education, as well as scientific research and technical and consulting work concerning agriculture. In December 2013, there are evidenced 115 people (62 women and 53 men) employed in the 6 Chairs, some of them (pedagogical and mostly research staff) are engaged in 3 research programmes and 16 research groups (basic, applied and developmental research work).

DA Chairs:

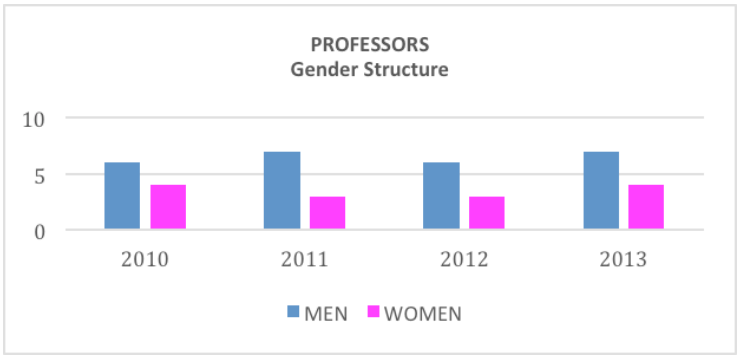
- Department of Phytomedicine, Agricultural Engineering, Agriculture, Grazing and Grassland;
- Department of Applied Botany, Ecology, Plant Physiology and Informatics;
- Department of Pomology, Viticulture and Horticulture;
- Department of Agricultural Meteorology, Regulation of Agricultural Land and Economics and Rural Development;
- Department of Genetics, Biotechnology, Statistics and Plant Breeding;
- Centre for Soil and Environmental Science.
- The table below shows the gender structure of all DA employees.

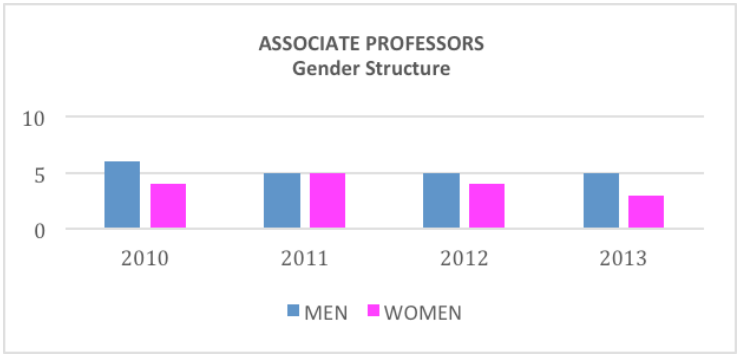


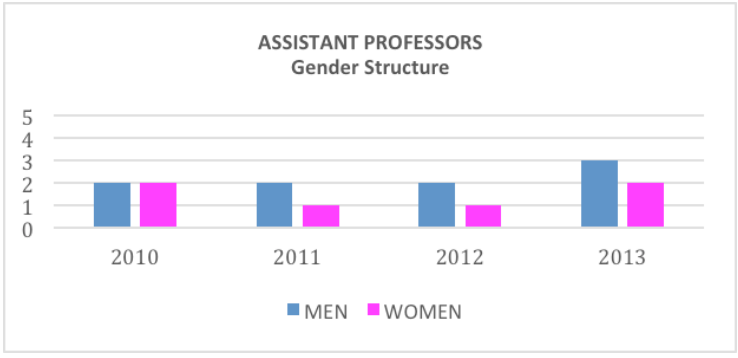
In compared years from 2010 until 2013, the gender structure of the Chair's Heads did not change (5 men and 1 woman).

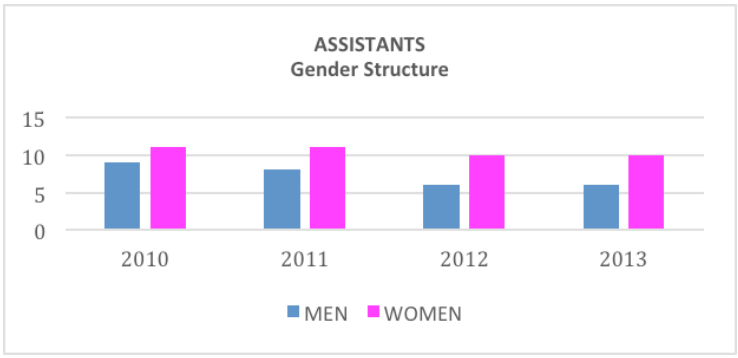


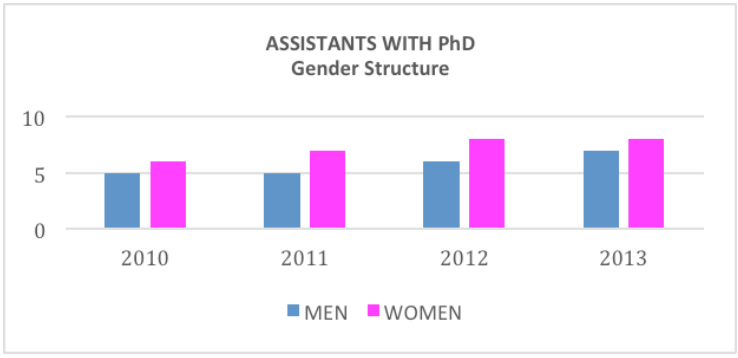
The following tables show the gender structure of all DA employees according to positions.

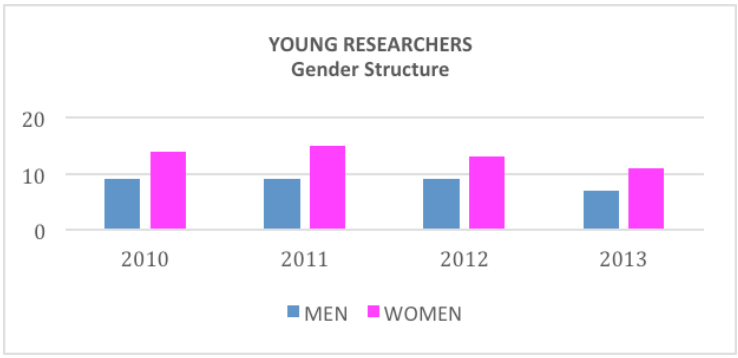


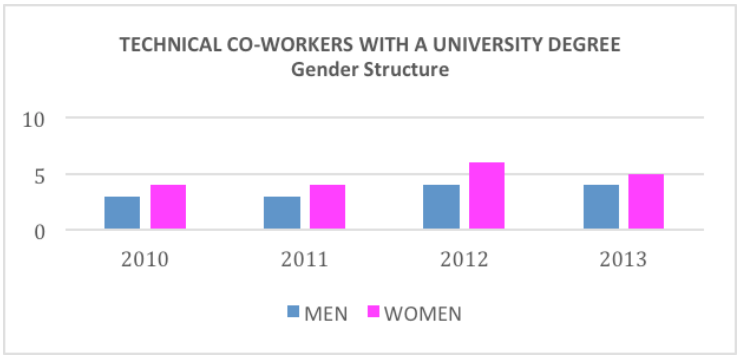


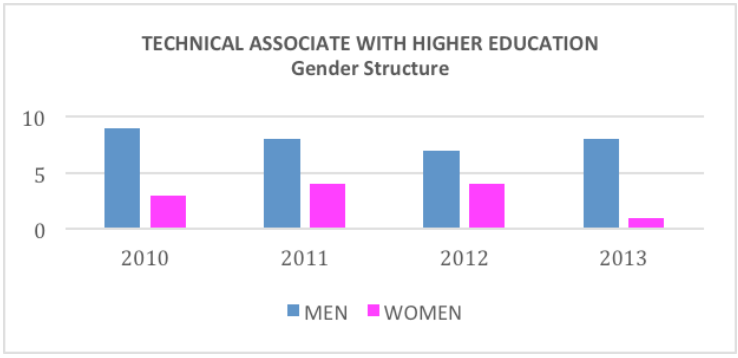



ASSISTANTS
Gender Structure
15
10
5
0
2010
2011
2012
2013
MEN
WOMEN


ASSISTANTS WITH PhD
Gender Structure
10
5
0
2010
2011
2012
2013
MEN
WOMEN


YOUNG RESEARCHERS
Gender Structure
20
10
0
2010
2011
2012
2013
MEN
WOMEN


TECHNICAL CO-WORKERS WITH A UNIVERSITY DEGREE
Gender Structure
10
5
0
2010
2011
2012
2013
MEN
WOMEN


TECHNICAL ASSOCIATE WITH HIGHER EDUCATION
Gender Structure
10
5
0
2010
2011
2012
2013
MEN
WOMEN


RESEARCHERS
Gender Structure
5
4
3
2
1
0
2010
2011
2012
2013
MEN
WOMEN

From gender structure of all DA employees according to their position it is clearly visible that men occupy the leading positions – in all the compared years, the majority of Chair's Heads were men (5:1). Men occupied the highest pedagogical positions predominantly: in 2013, there were 7 men Professors and 4 women, 5 men Associate Professors and 3 women, 3 men Associate Professors, and 2 women. At lower positions, there are more women than men: 11 women against 7 men Young Researchers, 10 female Assistants against 6 men and 8 women against 6 men Assistants with PhD. Only women occupy the lowest positions (cleaners, administrative workers, librarians).

6.3.3 Interview with key players

SSH: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU)

The interview with the Head of Fran Ramovš Institute of the Slovenian Language at ZRC (man, 56) was conducted on 10th September 2014.

Ad 1) Department's visions and strategies

The interviewee sees the role of its institution as serving the larger society, while being guardian of Slovenian language that was for centuries one of key cornerstones of Slovenian national identity. According to him, his institution, —besides Department for Slovenian Studies at the Faculty of Arts of University in Ljubljana—is the most competent institution for Slovenian language in the whole world.

Besides formal criteria indicators of success within the institute, there are also informal criteria, such as actual readiness of someone to work and to learn. One has to be socialised, because the very nature of work at the Institute is teamwork, underscores the interviewee, aiming at the specific work tasks of Fran Ramovš Institute: “We have long-term work tasks. Work on Slovenian linguistic atlas began, for instance, in 1945 and was only recently started to get published.” “Among formal criteria, the most important are publications, because sole participation in projects does not say anything about actual contribution.” “Capability, work habits. Is someone interested only in his rights, or what he can do in this job? That's what interests me in the first place.”

Regarding the specific and long-term nature of the work of the institute, the vision is to get as much as possible stable funding. This relates also to human resources, who acquired their specific knowledge during decades and could not be a period without funding: “Ups, now for 5 years there will be no funding. For if we lose these people, who were educated 10 or 20 years to do works on dictionaries, and now there is no one to do it, except those who do not know anything else or know much worse something else. Why would they work and learn something else, if they worked and learned for 20 years to do this, and now they know how to do it. The state who invested in their knowledge, will now them … What?”

Considering gender issues, he states that already at the university studies two thirds of students are women and it is quite normal that this is reflected later in the research sphere. He states that gender does not play any role in hiring, because one does not employ people because of their gender. Gender should not play any role, however: “A group, consisting solely of women or solely of men, does not function well. That is why we take care that groups are mixed. However, this happens spontaneously by itself. If, however, it would start to happen somewhat naturally that only women would amass, or in our case less likely only men, then I would twitch my ears and say: ‘Let's make mixed’.” The operable minimum for the interviewee is 20% of men in a group: “I was myself witnessing the situation when there were 10 women and one man, and they forgot that a man is there. They so overpowered him that they forgot that he is there. If there would be two men, I think they would not. It depends, what kind of a man we are talking about, but we would not go here into it.”

Key policy players within the Institute are the Head of the Institute, and his two Assistants, one man and one woman. This is considered an ‘operational leadership of the institute.’

Ad 5) SSH & STEM

He does not speak about the number of PhD graduates, but mentions that usually their Young Researchers stay after their formation at their institution, 20% of them leave. He mentions that those things are left to the mentor of Young Researcher with whom there is an agreement what a particular Young Researcher will do and it is not even necessary that he will work together with his mentor: “No, it is not necessary. He or she is assigned where most necessary and as well according to candidate's affinity. If possible.” The same goes for postdoctoral researchers. He mentions one specific case of Young Researcher who later made his career abroad: “He was very promising Young Researcher, who later left us, but the man is very ambitious. He is the researcher who later got a post in Norway after he lectured in Massachusetts, then for a while in Holland, now I think he is professor in Canada. Okay. This man was not for our work. He was too ambitious, what later was proven. Here with us you have to sit down and work hard on a dictionary, what might be very boring for someone.”

There are equal gender opportunities, however, the recent trend for the post of young researcher is 4:1 in favour of women, and this ratio is the same later for the permanent research job.

Concerning the latter, i.e. permanent position in relation to C-level, the interviewee says that in most cases the way to it goes through and from the post of Young Researcher. However, there are cases when the need for a certain profile arises. In these cases, Research Assistants from other institutions were employed.

STEM: Biotechnical Faculty, University of Ljubljana, Slovenia

The interview with the Head of the Department of Agronomy (I3, woman) was conducted in March 2015. Discussed topics from the interview are: (1) Department's visions and strategies and (5) SSH & STEM.

Ad 1) Department's visions and strategies

The Head emphasises that the main vision of Department aims at education of professional personnel (through knowledge transfer to extension services, advisory services for agriculture and farmers themselves) at the state level, and visibility of Department in international academic arena.

She observes that indicators of scientific publishing and international visibility are overestimated compared to teaching. The number of PhD students is not an important indicator because of established criteria of scientific excellence: “You get only some points if you apply for a mentorship for Young Researcher. This indicator is important only in pedagogical promotion, but otherwise it is not valued as an indicator of your scientific success.” The most important indicator is related to research funds: “Funds for research are of prime importance since the faculty gets only 66% of permanent money for teaching. We must provide everything else by applying for the research projects, although we are told that these are public funds. For me, seeking for indirect budget funds for research is a market competition. This is not directly paid. You have to compete for these funds with other research institutions.” Working ethic is also important, actually a precondition for successful academic publishing.

The Department's vision follows global trends of deepening basic knowledge, which is transferred to students. As to teaching, the Head seeks to improve methods of teaching since she identifies—based on students' evaluations—poor pedagogical skills of some professors. As the Head of the Department of Agronomy, she will seek to coordinate research and teaching of Department's Chairs, and in relation to the Faculty, she admits that the Department is autonomous in governing and managing. The most important specific goal is publishing in high impact scientific journals, followed by applying for national and international research projects and maintaining the extant share (approx. 10%) of projects with the third parties from industry; unfortunately, the latter projects are in decline due to the current crisis in food-processing industry.

Discussing gender issue of department's policy, the Head did not know how to reply and why the issue was important at all. Later she admitted that the Faculty did not have any official gender policy and Department neither had it. Despite the fact that she has been the first woman Head of Department of Agronomy since 1947, she believes that gender issue does not play important role in the institution: “Dilemma remains whether we have men-favouring policy at the Faculty or women themselves are purposely invisible. Men are not

always guilty… If you have to decide whom to keep: man or women, you will choose the better one irrespective of their gender. You simply select a person with better knowledge."

The Head explains that Department monitors progress of teaching and research according to the Faculty's rule harmonised with the rule of the University of Ljubljana. The employees are also evaluated as public employees according to the rule that is applied to all public employees in the country.

Finally, she is convinced that all Departments are equally represented at the Faculty level since they are members of Faculty's bodies: from the Senate personnel commission, Governing Board to the Faculty's senate. At the level of Department, the Head is the key player together with the college of the Heads of Chairs and the Department's Senate.

Ad 5) SSH & STEM

Discussing the number of PhD students and postdoctoral researchers, the Head explains that the Department is interested in more and more such students, but their number depends on the obtained research projects. Unfortunately, one of the economic crisis consequences is decreased number of PhD students from industry.

Debating (un)paid working obligations of PhD students, she stresses upper limit of teaching hours is clearly defined for Young Researchers in their contracts. This limit is defined by the Slovenian Research Agency. Yet she believes that being more engaged in teaching, students can only benefit. She hardly believes that obtaining new experience and knowledge by extra-unpaid obligations in the classroom automatically means exploitation of students.

Further, she insists that Department offers equal opportunities and access for women and men to teach and research in all scientific fields and for their permanent employment; she holds that there are approximately half men and half women employed at the Department.

Recently, the number of temporary contracts has been increased. The Head criticises such a form of contract for academics at early stage of their career because they cannot establish their homes and families: "If you are temporarily employed you cannot raise the loan, buy an apartment, and have children. Children demand at least minimal material conditions."

Finally, she concludes that all kinds of PhD students live in uncertain circumstances without any good prospects for employment in Slovenia. However, those who are good "may find good job opportunities even in the crisis".

In addition, each beneficiary will fill out the following checklist on gender equality measures in science on a national level:

SSH: The Research Centre of the Slovenian Academy of Sciences and Arts (ZRC SAZU)

Gender equality measures in science on national level	**Yes**	**Partly**	**No**
Equal treatment legislation	x		
Commitment to gender mainstreaming			x
Commitment to gender budgeting			x
Publication of sex-disaggregated statistics			x
Development of gender equality targets/bench marks			x
Gender balance targets in public committees			x
Women and science unit in the ministry of education/science	x		
National committee on women and science	x		
National centre on women and science	x		
Gender equality measures in science on institutional level	**Yes**	**Partly**	**No**
Gender equality plan			x
Gender balance targets on university committees			x
Gender quotas on university committees			x
Gender/women studies and research			x
Programmes on women and science, special funding available			x

STEM: Biotechnical Faculty, University of Ljubljana, Slovenia

Gender equality measures in science on institutional level	Yes	Partly	No
Gender equality plan		x	
Gender balance targets on university committees		x	
Gender quotas on university committees			x
Gender/women studies and research			x
Programmes on women and science, special funding available			x

6.4 Main Conclusion

Presented data shows that in both organisations women are less engaged in the higher decision-making and managerial positions. However, in the case of ZRC (SSH) the gender structure is much more balanced while for BF (STEM), we can talk about the glass-sealing phenomenon. This also proves a need of increasing proportional inclusion of women in decision-making positions and leadership. Regarding decision-making, in both ZRC and BF, on the main leading positions (Director and Dean) are men, yet in the case of BF, the Faculty management is also men-only. Regarding the management structure, in the case of ZRC the management consists of 5 members, 1 man and 4 women, which can be seen as women-dominated, while for the Governing Board, as the main decision-making body proves to be men-dominated (4 women members and 6 men members). The gender structure of Heads of research institutes is more gendered balanced and has changed only a little in last 4 years; in 2013, there were 10 women Heads of research institutes and 8 men Heads of research institutes. Regarding STEM, Governing Board is also men-dominated (in years 2010 and 2011 there were 5 men and 2 women members, from the 2012 there is 1 woman left and 6 men members), which is the same in the case of Heads of the Departments. Where we can track the changes in the direction of more gender-balanced structure is the Faculty Senate changed in favour of greater representation of women in compared 4 years.

Both organisations are mostly publicly funded, but there is a difference in the level of autonomy: ZRC has the autonomy according to national legislation about public (research) organisations and national legislation about public financing and financing of public research projects, while BF funding the Faculty for pedagogical work by the University is centrally allocated. Therefore, the Faculty has some minimal or no autonomy in this regard. ZRC is research institution and its financing depends on the success at governmental call for research projects (from Slovenian Research Agency) that depends on governmental research policy and national budget planning. In that sense, ZRC experiences constant insecurity regarding funding since budget can be changed annually in accordance with the public finances. BF is funded for pedagogical work directly from the budget, i.e. from the Ministry of Education, Science and Sport through the University of Ljubljana. The scientific-research work at BF is funded indirectly through the above-mentioned projects' calls published by the Slovenian Research Agency, which funds basic (included postdoctoral) and applicative

research projects and research programmes. Both institutions are also externally funded by the EU funded projects.

Regarding transparency, both institutions are obliged to provide annual reports on their website.

Regarding test departments, the situation is the same as at the organisational level: SSH proved more gender-balanced structure (with 5 women Heads of Sections and 1 man Head in all compared 4 years), but the general structure of employee, which is highly women-dominated, should be taken into account. Women are predominant on higher positions, while for the position of Young Researcher (PhD students) they have equal number of men and women. Technical staff is women-only. For STEM, in compared years from 2010 until 2013, the gender structure of the Chair's Heads did not change (5 men and 1 woman). Gender discrepancy is the most visible on the position of Full Professor (men-dominated – 1 men Associate Professor was promoted to Professor title from 2010 to 2011) while in the case of the position of Associate Professor the numbers show more gender-balanced situation. However, this is indicative, since in the case of the positions of Assistant and Assistant with PhD women are predominant, which proves a glass-sealing phenomenon that women are less-represented in the highest position. In this regard, it is important to take into account that research positions at the Faculty are usually temporary (temporary contract). According to the interviews, the number of temporary contracts has been increased. In the case of administrative workers and cleaning workers, they are women-only.

From the interviews of the key players in both organisations and Departments, gender issue has not been considered as an important aspect of internal policy. In both cases, the emphasis was on the quality of researcher, either excellence in teamwork and social skills (SSH), or publishing and successfulness in applying for national, or the third-parties projects from industry (STEM).

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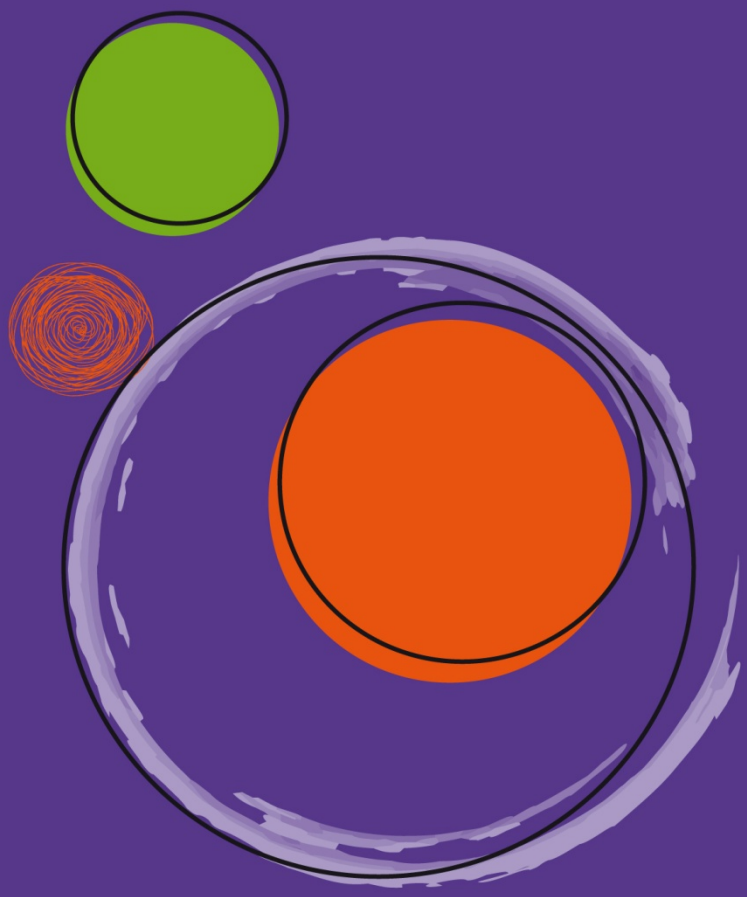

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