

TEMPLATE 3: INTERNAL REVIEW

Name of organisation under review: Bar Ilan University (BIU)

Organisation's contact details: Bar-Ilan University, Ramat Gan, 5290002 Israel

The Research Authority Tel: +972-3-5318404 , Fax: +972-3-6353277

Web-link to published version of organisation's HR Strategy and Action Plan: <http://research.biu.ac.il/content/charter-code-biu-hrs4r>

<https://www1.biu.ac.il/EN/collaborations>.

Web-link to organisational recruitment policy (OTM-R principles):⁴⁵

SUBMISSION DATE TO THE EUROPEAN COMMISSION: AUGUST 2015

1. ORGANISATIONAL INFORMATION

Please provide an update of the key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	Total: 2191
Of whom are international (i.e. foreign nationality)	*
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*
Of whom are women	Total: 1107

<i>Of whom are stage R3 or R4¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	*633
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	*131
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	* 1427
<i>Total number of students (if relevant)</i>	17,550
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	* 3,200+
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	<i>Estimated at € 230 million</i>
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i>	<i>Estimated at € 170 million</i>
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	<i>Estimated at € 31 million</i>
<i>Annual funding from private, non-government sources, designated for research</i>	<i>Estimated at € 2.5 million</i>
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>Bar-Ilan University (BIU) is the second largest research university in Israel, with a student population of approximately 20,500 at the main campus in Ramat Gan, and at the regional campus. This figure includes 6,000 young researchers of which 1,800 are PhD students.</p> <p>The university offers high-level academic studies and the development of advanced research within the framework of faculties, departments, multi-disciplinary centres and research centres.</p> <p>Aiming to excel in research, in recent years BIU has placed major emphasis on expanding its research activities and advanced studies, by substantially increasing the number of research students via Presidential and other scholarships. The university has also developed unique interdisciplinary study programs and has intensified research and instruction in fields that are at the forefront of sciences, such as computational biology, biotechnology,</p>	

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

nanotechnology, brain and more.

BIU has been involved in the Framework Programme since FP4 both as a partner and coordinator, managing approximately 200 projects.

BIU holds the 'HR Excellence in Research' award, which promotes itself as a provider of a stimulating a favourable work environment. The award reflects BIU's commitment to continuously improving its human resources policies in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

2. NARRATIVE (MAX. 2 PAGES)

As an active participant in European Research Framework Programs, BIU is committed to implementing the Human Resources Strategy for Researchers under the Charter & Code (C&C). Our HR strategy is designed to ensure that we can implement the C&C principles as stated in the Declaration of The Israeli Forum of Vice Presidents for Research.

In 2013, BIU created an ad hoc forum to conduct this analysis. The forum participants included the Rector, the Vice President for Research, BIU's legal counsel, the Head of Human Resources for Academic staff, the Head of the Research Authority, and representatives among new and seasoned faculty researchers.

Through assessments and interviews, the forum reviewed the 40 principles of the C&C, and analyzed differences between our policies and procedures, and the C&C principles.

Based on the forum's evaluation of the 40 C&C principles, the forum identified several gaps. To address these gaps, the forum then distributed a qualitative survey among BIU's faculty. Respondents were given the choice whether or not to remain anonymous. (Respondents who chose not to remain anonymous could be contacted by the forum for further follow-up.) The survey examined issues related to the C&C, the BIU academic work environment, and ways BIU can support and encourage its researchers to perform research. On the basis of both the forum's own evaluation and the survey respondents, the forum identified gaps in the following three C&C principles.

- Lack of transparency in BIU regulations and statutes pertaining to the work of university researchers.
- Lack of training and guidance in developing research proposals (locating funds, writing grants, and managing research funds).

- Lack in encouraging new researchers without tenure to submit competitive research proposals with the assistance and training of experienced researchers with a proven track record in securing grants.

To close these gaps, the forum recommends the following strategies in order to advance BIU's implementation of the HR Strategy for Researchers.

- Raise awareness among all researchers and students regarding institutional regulations and procedures governing the work conditions of researchers and the performance of research. For example, this awareness involves issues related to conflict of interest and ethical practices.
- BIU will conduct training sessions on topics identified in the faculty survey such as locating funding sources, developing proposals, and managing grants, publish the training program and a "Good Practice Manual."
- BIU will raise awareness among new researchers without tenure regarding the terms of their employment and ability to submit research grant proposals on an ongoing basis.
- Not all goals and objectives were realized and completed as shown by the lack of significant progress made by young researchers without tenure, to submit research proposals and to cooperate with industry.
- A large part of the completed actions have been adopted as actions on an ongoing basis.
- BIU continues to monitor the implementation of the action plan, and some changes have been made.
- BIU intends to conduct an extensive survey among all researchers at the university in order to re-examine the efficiency of the actions taken and to obtain ideas for new actions.
- As part of the in-depth processes undergone by the university, the university's long-term strategy has common interfaces with the HR strategy. The university intends to give special emphasis on recruiting talented students and leading researchers in the field of experimental science. The university intends to focus on international visibility, and the university considers the HRS4R to be great importance and an important tool that will encourage and facilitate researchers who have been exposed to the university to make a decision to move to it
- The university has made several decisions to increase STEM recruitment. This includes providing competitive startup packages to be able to recruit the best potential scientists, establishing agreements with other universities for student exchange with European universities and universities from China and India, and increasing BIU's participation in COST actions.

3. ACTIONS

Principle	Organizational activities	Responsible Party	Timing	Indicator(s) / Target	Current status
Ethical and professional aspects					
<p><u>Professional attitude</u></p> <p>Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. Researchers must inform their employers, funders, or supervisors when their research project is delayed, redefined or completed, or give notice if the research is to be terminated earlier than the closing date or suspended for whatever reason.</p>	<p>A manual for the new researcher at BIU is available and disseminated to all researchers. The guide covers the strategic goals governing their research environment and funding mechanisms. This guide will be updated in the future.</p>	<p>The Research Authority</p>	<p>October 2016</p>	<p>The investigator's guide was updated ahead of schedule.</p> <p>Given the positive feedback we received from new researchers, the Investigator's Guide will be updated again in early 2018.</p>	<p>Completed</p> <p>first trimester of 2018</p> <p>Note *</p> <p>BIU intends to publish updated manual every two years</p>
	<p>An annual conference will be held for new researchers at the beginning of the academic year with the participation of the Rector, the Vice-President for Research, the Director of the Research Authority, university officer and other key players.</p>	<p>The Office of the Vice-President for Research</p>	<p>End of September 2015</p>	<p>A conference was held for young and new researchers.</p> <p>The conference also held a number of presentations on research proposals for various funds, procedures related to research management, and procedures related to IP at the university.</p> <p>The university intends to hold a conference for young and / or new researchers under the auspices of the</p>	<p>Completed</p> <p>11/ 2018</p>

				Vice President for Research at the beginning of the academic year 2018	
	A new website has been launched; Researchers will submit their research proposals through the Research Authority website. Prior to submission of the proposal, the research proposal will be sent via the website to the Head of the researcher's department or faculty to obtain their approval. Once the head of the department or faculty has approved the proposal – including the budget - the proposal will then be submitted to the funding agency.	The Research Authority	September 2015	The new site was launched The site doesn't have yet all the functions for submitting research proposals through the site. The site interface should be more user-friendly. Site developers continue to work on these topics	In progress The upgraded site is expected to be fully operational in the first quarter of 2018. The upgraded site will include additional functions like research-oriented on-line forms as well as on-line procedures and forms for reporting discoveries and foregrounds
<u>Contractual and legal obligations</u> Researchers at all levels must be familiar with the national, sectoral, or institutional regulations governing training and/or working conditions. These regulations govern both Intellectual Property Rights and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required	A dedicated section on the new Research Authority website under Research Policy and Compliance addresses these issues and provides access to the relevant forms. The section is updated on a 6 month basis.	BIU Research Authority	September 2015 March 2016 September 2016	The new site is updated The site's webmaster conducts periodic checks to ensure that he is up-to-date.	The original action was completed. The action will be extended and become an ongoing activity that is expected to continue in the coming years as well
	The Bar-Ilan Research and Development Company	BIRAD	Ongoing	BIRAD make meetings with relevant	The original action was completed.

<p>results (e.g. theses, publications, patents, reports, new products development) as set out in the terms and conditions of the contract or equivalent document</p>	<p>(BIRAD) team will organize one-on-one meetings with researchers regarding IPR regulations, IP development rights, and licensing inventions on a regular basis.</p>		<p>during the 2014-2015 academic year</p>	<p>researchers</p>	<p>The action will be extended and become an ongoing activity that is expected to continue in the coming years as well</p>
<p><u>Accountability</u></p> <p>Researchers need to be aware that they are accountable to their employers, funders, or other related public or private bodies as well as to the scientific/academic community and general society. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent, and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.</p> <p>Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities</p>	<p>Key players will be updated on the university's guidelines and policies and will propose mechanisms to disseminate guidelines and policies to the researchers in a user-friendly format.</p>	<p>Mr. Ofer Shragay Deputy Director General of Planning, Organization and Logistics Eng. Nissim Battat, Director, Organization and Methods Unit</p>	<p>Should be completed by October 2017</p>	<p>Action incomplete. Procedures regarding the extraction of funds for research inputs were updated and implemented. Not all procedures are easily accessible to researchers. At the same time, the Finance Department in the Research Authority provides full support to researchers in all aspects of financial management of research in accordance with the applicable laws, and all procedures and conditions of the various funds. The Finance Department also supports the carrying out of internal and external audits, ensuring proper documentation that is completely transparent to the audit operations</p>	<p>Still in progress The completion and dissemination of all the procedures in a friendly manner to the researchers will be postponed to the end of 2018. The activity of the Finance Department of the Research Authority in providing support to researchers is on an ongoing basis and continue in the coming years.</p>

Working condition and social security					
<p><u>Career development</u></p> <p>Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation. This strategy includes researchers on fixed-term contracts. The strategy should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any uncertainty in their professional career. All researchers should be made familiar with such provisions and arrangements</p>	<p>At the periodic faculty staff meetings, each Dean will update the researchers on the 5-year tenure track scheme and career development strategies to achieve tenure.</p>	<p>Deans and heads of departments</p>	<p>Beginning with the 2015-2016 academic year, at least once a semester</p>	<p>The activity is part of ongoing activities throughout the year</p>	<p>The original action was completed.</p> <p>The action will be extended and become an ongoing activity</p>
	<p>Conferences will be organised with experienced researchers to present success stories and tips to new researchers.</p>	<p>The Research Authority</p>	<p>Beginning with the 2015-2016 academic year, at least twice a year</p>	<p>The action is performed in accordance with the requirements of researchers.</p> <p>The action was recently carried out during May-June 2017</p>	<p>Ongoing activity</p>
	<p>BIU will conduct training sessions on topics identified in the faculty survey such as locating funding sources, developing proposals, and managing grants, publish the training program, and a "Good Practice Manual."</p>	<p>The Research Authority</p>	<p>Beginning with the 2015-2016 academic year, at least once a semester</p>	<p>The university also conducts workshops with external lecturers such as consulting companies, representatives of the European Union and professionals from within the university.</p>	<p>Ongoing activity</p>
<p><u>Access to career advice</u></p> <p>Employers and/or funders should ensure that career advice and job placement assistance is provided to researchers at all stages of their careers, regardless of their contractual</p>	<p>The Research Authority promotes research activities among the university's researchers, in collaboration with industry & other strategic partners. We are planning to organise a conference at some time in the future.</p>	<p>The Research Authority</p>	<p>Jan. 2016</p>	<p>A conference in cooperation with industry that was supposed to take place at the university did not take place.</p>	<p>Actions have been altered</p> <p>Ongoing activity</p>

situation.					
Training					
<u>Relationship with supervisors</u> Researchers in their training phase should establish a structured and ongoing relationship with their supervisor(s) and faculty/departmental representative(s). This activity includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables, and/or research outputs.	At the periodic faculty staff meetings, each dean will check with the researchers that they have structured relationships with their researchers in training and are monitoring their progress.	Deans and heads of departments	Beginning with the 2015-2016 academic year – once a semester	The activity is part of BIU’s 5-year tenure track scheme and career development strategies to achieve tenure.	Ongoing activity
	BIU will raise awareness among new researchers without tenure regarding the terms of their employment and ability to submit research grant proposals on an ongoing basis	Vice President for Research The Research Authority	October 2015	The submission of research proposals to various funds by young researchers who do not have tenure is still in discussion with representatives of the young researchers.	Still In preparation
<u>Access to research training and ongoing development</u> Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are provided with the opportunity for professional development and for improving their employability through access to measures for the ongoing development of skills and competencies. Such	Opening pathways for research proposals, for young researchers without tenure with the help and under the supervision and approval of senior and established researchers.	Vice President for Research The Research Authority	Continuous starting from August 2015	The submission of research proposals to various funds by young researchers who do not have tenure is still in discussion with representatives of the young researchers.	Still In preparation
	Informing the young researchers regularly of calls for proposals and funding opportunities through the university's information system	Vice President for Research The Research	September 2015 September	The university issues to all the researchers information about calls for proposals and funding opportunities. The information is issued to the	The original action was completed. The action becomes an

measures should be regularly assessed for their accessibility, and effectiveness in improving competencies, skills, and employability.		Authority	2016	researchers according to their areas of research and their interests. A Nature workshop was organised in spring 2017 to offering researchers excellent skills in improving their writing skill to improve their chances in publishing in high level peer reviewed papers.	ongoing activity
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As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist⁴⁵, attach it to this self-evaluation form, and provide a commentary on how you will (continue to) address these principles in the years to come.

Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:

BIU was awarded the HR Excellence in Research in August 2015, prior to the publication of the Open, Transparent and Merit-based Recruitment of Researchers (OMT-R).

Although BIU's actual recruitment system already includes many features regarding an open, transparent and merit based system, BIU does not yet have a structured program for implementing all the principles of the OTM-R plan. .

The attached checklist analysis shows that much of the gap is due to the lack of written procedures, insufficient use of the university's website, insufficient use of external tools and external media network to advertise open positions.

The university intends to examine these matters and to examine ways to improve that gap.

As an immediate action, the Vice President for Research intends to issue a letter to all the deans of the faculties in order to urge them to publish the available positions on the university's website and to encourage the use of external distribution tools in order to advertise positions.

4. IMPLEMENTATION (MAX. 1 PAGE)

Please provide an overview of the expected implementation process. You can use the following questions as a guideline in your description:

- How have you prepared the internal review? How have you involved the research community, your main stakeholders, in the implementation process?
- *A university team went through the entire Action Plan and checked the achievement and the current status of its goals. The team also intends to issue a questionnaire to researchers in order to examine the impact of the actions taken on the successful implementation of the procedure.*
- Do you have an implementation committee and/or steering group regularly overseeing progress?
- *The team is dedicated to overseeing the continuous progress. The team is in constant contact with the researchers. The team meets as needed, and also met with key players to ensure that the key objectives are met.*
- Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy?
- *Definitely yes. In the declaration of The Vice President for Research of all the research universities in Israel, the principles of the Charter and the University have been adopted consistently and BIU continuously and consistently acts in accordance with these principles.*
- How do you involve the research community, your main stakeholders, in the implementation process?
- *Regular meetings are held between the President and the faculty staff.*
- *There is close follow-up of the young researchers until they receive their tenure position and are promoted. After 2.5-3 years, deans have to report to the rector on the progress of new faculty members. They also have to report the progress of the new faculty researchers to the promotions committee.*

- *In addition, throughout the year the Research Authority holds personal meetings with researchers. During these meetings, we are able to receive real-time feedback on the progress achieved, as well as new ideas about actions to be carried out.*
- How is your organisation ensuring that the proposed actions are also being implemented?
- *The deans have to submit mandatory reports to the rector describing the integration of the researcher in the department and that he is fulfilling his duties in teaching and research.*
- *The integration of all new researchers is monitored at the level of department, faculty and rector, and in extreme situations the VPR becomes involved.*
- How are you monitoring progress?
- *The team meets as needed with the key players and examines the achievement of goals and ensures that progress is monitored and actions are implemented.*
- How do you expect to prepare for the external review?
- *In principle, we keep a record of actions taken in order to reduce the gap that was revealed during the gap analysis and we keep a record of the actions taken in accordance with the action plan.*

Please note that the revised HR strategy and Action Plan must also be published upon completion of the internal assessment.