UiO : University of Oslo

An organizational and decision-making structure that supports UiO's strategic objectives

Report by working group 4
Follow-up of the report by the international panel Strategic Advisory Board (SAB), «Build a Ladder to the Stars»

Contents

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Summary

The main objective of Strategy 2020 is formulated as follows: *«The University of Oslo will strengthen its international position as a leading research-intensive university.»* The objective is achievable, but global competition is increasing, and the objective refers to a standard that is continuously being raised. Consequently, UiO needs to enhance its performance level in order to *retain* its current position. As clearly indicated by SAB, improving the performance level further will be quite a challenge, especially in areas where the University already ranks highly. The magnitude of the challenge is even more apparent when we consider that much of the funding has to be obtained from external sources; the direct government appropriations that UiO receives are mainly aimed at a much broader social mission – a mission that UiO takes pride in doing well.

Working group 4 does not believe there is any single initiative that can achieve our ambitions. The group has therefore sought possible *combinations* of measures, which *together* can provide a sufficient boost. These measures fall into three broad categories:

1. Measures for clearer prioritization of quality and development at all levels of the organization. Three categories of measures are considered to be particularly important:

   a) Clearer prioritization of quality through distribution of internal resources to academic communities and projects/initiatives.

   b) Recruitment of academic personnel, where UiO's potential for beating the competition for candidates of a high international calibre is improved through, for example, quicker processing of recruitment issues and greater focus on devising attractive career plans for outstanding young researchers at the start of their career.

   c) Recruitment of leaders/managers, where (a) restrictions that exclude external candidates are lifted, (b) actively searching for well qualified candidates externally is part of the process, and (c) hybrid models – here: models that combine active searching and the thorough evaluation of qualifications (where students and employees play key roles) with a clear mandate from the university community – are assessed at levels 1 and 2.

2. Measures for closer and more effective interaction between leadership levels, aimed at three secondary objectives: (a) strengthening UiO's influence as an institution, (b) opening new channels «bottom-up» for ideas and initiatives from local academic communities, and (c) bringing an end to the confusion and extra work that arises in the interface between shared and uniform management. The working group's solution is made up of several specific measures, including:

   a) Establishment of two vertical coordination structures in which the research and education leaders in the top three levels of the organization work closer together in continuous «teamwork». The agenda for this teamwork is partly determined «top-down» (applies inter alia to measures aimed at improving the follow-up of key strategic initiatives) and partly «bottom-up» (applies inter alia to new and academically exciting projects initiated in one or more academic communities).

   b) The majority of group 4 consider the introduction of uniform management also at level 1 to be crucial to achieving the secondary objective of bringing an end to the confusion and extra work that arises in the interface between shared and uniform management. Under current legislation – and the government's proposed amendments (Prop. 41 L from 2015–2016) – such a reform will require UiO to adopt the Ministry's main model, where an external chair is appointed to the University Board by the Ministry, and the rector is appointed by the University Board. The majority assumes that if the Ministry's main model is adopted UiO will exploit the scope afforded by the model for determining how the search and recommendation procedures should be designed. A minority believes that the current system of dual leadership at level 1 can work well, and that the specific challenges identified can be resolved through a pragmatic clarification of procedures. A collective panel considers it important that the rector, even where he/she is appointed rather than elected, has a mandate from the university community, and points out that there are several hybrid models capable of satisfying this aspect.

   c) UiO should undertake a broader evaluation of the existing organization with a view to reforms that can foster effective and transparent decision-making processes. UiO's central leadership needs a balanced and effective advisory body that can support the leadership in strategic and policy issues. The meeting of deans is one such body, and this may function more effectively if participation is ordinarily restricted to the university leadership and the deans

3. To ensure adequate latitude at a time when important changes can be made both suddenly and unexpectedly, UiO should gradually develop greater financial leverage for leaders and boards at all levels of the organization. This financial leverage should be complementary, for example, such that:

   a) At level 1 it is mainly used for major efforts and key strategic priorities that apply to UiO as an institution.

   b) At level 2 it is mainly used in a similar way for major efforts and key priorities in the individual faculties.

   c) At level 3 it is mainly used more operationally, for local initiatives and follow-up of joint projects.

   Establishing level-specific leverage as described requires long-term, broad involvement of leaders at all levels, as well as effective cooperation between the levels.

Part I: Introduction

The international panel Strategic Advisory Board (SAB) was appointed by the Rector in November 2012, and was tasked with advising on how UiO can achieve the objectives of Strategy 2020. A more detailed description of the panel's work and UiO's process for following up the SAB report is available on UiO's website; http://www.uio.no/for-ansatte/arbeidsstotte/prosjekter/ strategic-advisory-board/index.html.

Strategy 2020 sets challenging objectives for UiO, and its main ambition is: *«The University of Oslo will strengthen its international position as a leading research-intensive university»*. In the report entitled "Build a Ladder to the Stars», SAB asks critical questions in relation to UiO's governance model, arguing that *«UiO cannot implement its ambitious aims without reassessing its governance structures»*. SAB calls for greater differentiation in governance and leadership, adapted for the divergent natures of research and education respectively. The panel believes that *«UiO cannot continue to use its present uniform approach. It must find the right mode of governance for each specific division, programme, initiative or activity.»*

As part of the follow-up of SAB's input, the University Board appointed a working group (group 4) to examine options for an organizational and decision-making structure that better supports UiO's strategic objectives. The mandate was approved by the Board on 5 May 2015.

Chapter 1 Composition of the working group, mandate and working method

The working group was chaired by Professor *Arild Underdal* (STV/SV), and otherwise composed of *Hilde Haugsgjerd* (external participant), Dean *Morten Dæhlen* (MN), Dean *Arne Bugge Amundsen* (HF), Dean *Hans Petter Graver* (Jus), Administration Manager *Eva Helene Mjelde* (IBMS/MED), Professor *Åse Gornitzka* (STV/SV), Professor *Tanja Storsul* (IMK/HF), Professor *Unni Olsbye* (Kjemi/MN), Professor *Kjetil Taskén* (BiO/MED), researcher *Anne Maria Eikeset* (CEES/MN), student *Marianne Andenæs* (appointed by the Student Parliament), senior safety representative *Hege Lynne*, Senior Lecturer *Øivind Bratberg* (STV/SV – appointed by the civil service unions), Associate Professor *Steinar A. Saether* (ILOS/HF - appointed by the civil service unions), Professor *Svend Davanger* (IBMS/MED – deputy, appointed by the civil service unions), Senior Engineer *Yngve Hafting* (IFI/MN – deputy, appointed by the senior safety representative).

The group's secretariat consisted of *Inger Stray Lien* (head of the SAB project's administration), *Olaug Kristine Bringager* and *Wenche Hanneborg*.

The working group was tasked with the following:
A. «The group shall make an independent assessment of the need for changes or clarifications with regard to the roles, authority and responsibilities in the different levels of UiO with a view to:
> *1) Achieving the objectives and ambitions of Strategy 2020 and improving the quality of the University's primary tasks*
> *2) Strengthening UiO's capability for internal interdisciplinary collaboration and for academic collaboration with others*
> *3) Ensuring transparent and democratic decisions.*

B. The group shall assess whether the needs that are identified from A above necessitate the following
> • *Changes in some parts of UiO's organizational and governance structure*
> • *Efforts to achieve greater autonomy in some areas or adapting its existing scope of independent action*
> • *Changes in decision-making platforms to enable academic employees to help shape developments within their discipline*
> • *Changes to the frames and conditions for the individual academic employee – within the existing agreements and statutes.*

The working group shall undertake an overarching review of the challenges of the current organizational and governance structure, substantiate the need for changes identified by the group and – as far as possible – present alternative options for change, coherence and consequences.

The working group shall give its recommendations on what changes need to be implemented at UiO in order to achieve an organizational and governance structure that safeguards its overall development needs and goals.»

Group 4 has assumed that its mandate does not include reviewing the observations and conclusions of SAB or the other three SAB working groups for quality of education, quality of research and interdisciplinarity respectively. The situation presented by each of these groups thus forms the basis for group 4's evaluation, and this is supplemented with group 4's own assessments of the primary challenges that need to be addressed.

As a backdrop to its assessment of organization and governance, group 4 compiled a document describing UiO's complex activities, and this is appended to the report for further information. The description also provides a clear picture of the heterogeneous and complex nature of UiO's activities.

The group's work is largely based on observations made through input during the process, from the three other working groups, from the working group's own members and from others who have contributed in consultations and through other channels. However, the mandate also requires group 4 to conduct an *«independent»* assessment of the need for change, and the group has therefore in some cases considered changes and instruments that have not been highlighted in the input from the other working groups. In keeping with its mandate, the group also carried out an *«overarching»* review of what the group considers to be the most important universal challenges for UiO (in Part II), before more specific *«requests»* are covered in further detail (in Part III).

The working group initiated the process by holding a meeting on 3 June 2015. The first phase focussed on giving the group the best possible evidence-based knowledge platform as a starting point for identifying strengths, weaknesses and potential for improvement in UiO's organizational and decision-making structure. The group members' own expertise was used in the preliminary work in smaller sub-groups, and the group was also able to benefit from internal and new research-based knowledge on leadership and governance at foreign universities. Contributions from internal forces were supplemented with input from representatives of faculties, students, programme coordinators and student administration, the network for Centres of Excellence (SFF) leaders and administrative staff in finance, human resources and infrastructure (IT, property, library).

The group has also had discussions with the researcher Søren Barlebo Rasmussen about the importance of organization for universities in the society of the future. Rasmussen has been a contributor to UiO's research leader programmes for the past 10 years, and is therefore very familiar with UiO.

In addition, the working group wanted a broader basis for assessing how UiO is perceived as a collaboration partner. To this end, a selection of representatives from external partners were invited to discuss their expectations of and experiences with UiO as a partner. The participants were Håkon Haugli (Abelia), Arvid Hallén (Research Council of Norway), Bjørn Erikstein (OUS), Dagfinn Myhre (Telenor), Stein Olav Henrichsen (Munch Museum), Mari Sundli Tveit (NMBU), Hilde Lorentzen (NIBR) and Curt Rice (HiOA).

During the process, there has been dialogue with the other three SAB working groups for quality of education, quality of research and interdisciplinarity respectively. Part of these groups' mandate was to provide input to group 4 on *«conditions in UiO's organizational and decision-making structure that should be changed/clarified in order to strengthen/improve/simplify the academic work and development processes with a view to achieving the objectives of Strategy 2020».*

Midway through the process, group 4 organized a seminar for the steering committee (University Board), the university leadership, the deans and other leaders at a similar level, as well as staff in key administrative positions. The aim of the seminar was to exchange preliminary views on central issues prior to the working group entering a more conclusive phase of the work.

Chapter 2 The group's approach to the work

Group 4 has attempted to shed light on the coherence between characteristics of the various activities and suitable governance structures in a way that takes into account the diversity and complexity of UiO's operation, and that simultaneously promotes quality development and drive. The choice of solutions for organization and governance at UiO must be adapted to a complex landscape and must be designed so that, as a whole, they foster the development of local academic communities and ensure driven institutional leadership. This requires a comprehensive understanding of how key components of UiO's governance structure interact, including both the joint structures needed for UiO to function well as an institution and the variations needed to accommodate the diversity of UiO's academic activities.

The working group has noted that SAB considers it crucial to achieve a careful balance between centralization and decentralization of authority. This may entail a need for greater central authority where the institution as a whole is the main actor, or a greater degree of decentralized authority in relation to research and other academic activities in the different disciplines. SAB notes that *«A decentralized university governance structure is characterized by complicated and slow decision-making and implementation processes, all the more so when coupled with abundant arenas for collective decision-making. On the other hand, the combination of a decentralized governance structure and collective decision-making often leads to high levels of legitimacy and commitment. Thus a more centralized university governance structure offers the opportunity of more efficient decision-making and implementation processes, but runs the risk of decreasing commitment and weakening legitimacy».* Somewhat simplified, SAB's starting point is that a high degree of decentralization and collective decision-making authority leads to high levels of legitimacy and stimulates local commitment, while the capacity for decision-making, and to some extent its implementation, tends to increase with a more centralized decision-making process.

In this diagram, the working group illustrates how decision-making and its implementation should be treated as two different concepts, particularly when applied to research and other academic activities carried out in the various academic communities. Here too, an overarching leadership level can influence development through, for example, incentives and guidelines,
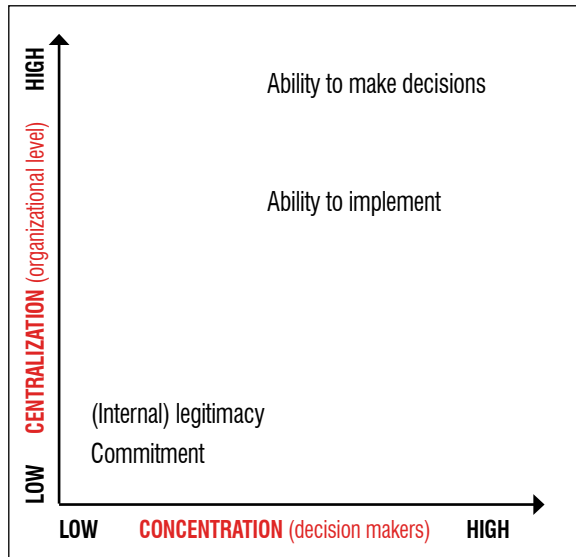
but the academic communities' commitment in specific follow-up measures will largely depend on their own interest in the project.

The mandate requires recommendations for «*alternative options for change, coherence and consequences*», and where it has been possible, the working group has considered various instruments that can be used and different paths that can be followed. In many cases, these options for action are *not* mutually exclusive; on the contrary, the optimum solution may well be to combine two or more options in a more uniform strategy for achieving the objectives.

The levels used in the report are defined as follows:

- Level 1 refers to UiO's central level
- Level 2 refers to the faculties and museums
- Level 3 refers to the academic departments and centres (permanent and temporary)
- Levels 4 and 5 refer to administrative departments/sections/groups/units[1] etc. below academic department level. These can be permanent or temporary.

The appendix to the report describes the University as an institution, and provides a backdrop for assessing the organization and leadership. The document gives an account of the current organizational and governance model, scope of activity, history and trends over the years, and change processes that have affected the leadership and organization system, etc.

This is not a complete picture. Simplifications and omissions have been made in the organizational chart shown in the illustrations in the report in order to highlight differences and relationships of size in the main structure and to clearly distinguish the internal shared resources for all academic communities. In 2011, the University of Oslo Library was defined as an academic unit, and was added to UiO's official organizational chart at the same level as the faculties. In this context, the focus has been on the library's role as a key supplier of infrastructure to the whole of UiO's research and teaching activity, and the University of Oslo Library was therefore placed together with USIT and the Estate Department. UiO's three current major interdisciplinary initiatives are not shown in the figure – all three are affiliated with their host faculty, but organizationally placed with a direct line to the university leadership.

Chapter 3 Which landscape should UiO's organization and leadership be adapted for?

Governance, leadership and organization are all instruments aimed at strengthening UiO's ability to achieve ambitious goals. In order to have the intended effect, these instruments must – in combination – be used in a way that fosters individual academic freedom and development, whilst simultaneously facilitating carefully considered and active governance and leadership of the University as a whole. Some trends in the academic activity and in the environment surrounding UiO make this combination more challenging and more important than just a few decades ago.

3.1. The academic activity and internal culture

UiO is, and will continue to be, a research-intensive university with academic breadth. A research university's capacity for academic innovation is crucial, and academic innovation requires a favourable environment for the growth of creativity, development of ideas and collaboration. Highly qualified employees with a strong academic commitment are essential. Their main driving force is their *inner* curiosity and motivation, stimulated through effective collaborations with colleagues (and not uncommonly by divergent research results).

The individual employee's commitment and drive are not, however, sufficient to ensure the success of the University as an institution. Research, teaching, dissemination and innovation are largely joint projects that require cooperation within and often across different disciplines. If adequate support is not facilitated through (executive) governance and (operational) leadership even the most competent and dedicated researchers risk ending up in a frustrating state of collective powerlessness. Increasing costs of building and operating advanced research laboratories and other infrastructure that is on a par with that of competing academic communities necessitates strict prioritization in many areas. Such prioritization will often be encumbered with more than a little uncertainty in relation to, for example, the future development of the discipline and other institutions' resources. It does not make the prioritizing of scarce resources any less necessary, but the uncertainty underlines the importance of thorough preparation through processes that the academic communities themselves recognize as legitimate. Open and trustworthy collaboration between the academic communities involved and UiO's leaders at various levels can help to increase the overall supply of top qualified personnel and research funding. However, when the competition gets tougher and more is at stake, even the best-funded universities may have to disappoint some of their highly-rated researchers and academic communities.

Quality improvement and drive are not only affected by structural mechanisms, but also by cultural conditions. Culture reflects the general experience of «the way we do things here», and also incorporates ideals and values that characterize ways

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[1] *At these levels in the organization many different names are used. The division of units can partly be affected by partner institutions, such as hospitals. There are also disparities in the degree of formalization and authority assigned to unit heads.*

of thinking about organization, governance and leadership models. Cultural variation underlies UiO's diversity, but some concepts nevertheless seem to have broad support. For example, thoughts on what qualifies as «good» leadership have traditionally focused on academic authority, and academic legitimacy is still considered an important premise for academic freedom and institutional autonomy. In addition, governance at UiO is based on democratic principles and influence through elections, collaboration under the Basic Agreement, open discussions and other more or less informal channels of participation. This list goes on, but the most important aspect for the working group's assessments in this report is the recognition that cultural conditions have a bearing on the ideas that contribute to determining UiO's scope of action as an institution.

SAB also believes that UiO is characterized by an egalitarian culture, and is probably correct in its assumption that expectations of equality – even beyond the principle of equal *opportunities* – are firmly rooted at UiO. In connection with this, SAB observes that *«Competition fosters excellence»*, whilst also noting that *«Our impression is that UiO is not very competition-focused, and that it has been hesitating on whether it really wants to shoulder the inevitable consequences of a stronger emphasis on competition and excellence».* Strategy 2020 indicates that the ambition to develop UiO as a leading international university should be realized by *«giving greater priority to high quality units compared to other considerations.»* This is a clear message that academic quality should be a determining factor in UiO's prioritization of its own resources, at all levels. We must assume that this method helps – to the extent it is applied – to foster a move towards a performance and competition-oriented culture. A tendency for a greater concentration of research funding from key external sources for major projects and programmes will also have the same effect.

Last but not least, group 4 refers to the value of student democracy and the students' participation in governance and academic development at UiO. The students' experiences and involvement make them important contributors to the development of UiO's education programmes and learning environment. Programme organization and programme management can give the students leverage to influence the content and form of the education they are undertaking. Meanwhile, they are also participants in formal decision-making bodies at UiO, and have highlighted during the SAB process that board membership training, active inclusion and informal meeting places are needed, including between deans and the Student Parliament, in addition to clarification of the student bodies' consultation rights.[2]

3.2. UiO's surrounding environment

SAB notes that *«In the contemporary world no institution exists in isolation, least of all a major university».* The environment that surrounds a university creates both opportunities and limitations, thus shaping the challenges of governance that face university leaders and decision-making bodies. In order to properly understand these challenges, we need to increase our level of awareness and take an interest in the expectations that the authorities, society, the business sector and others have of the University.

The authorities' expectations are summarized in the Ministry of Education and Research's annual letter of allocation. In the letter of allocation for 2015 to UiO, the Ministry stressed that: *«The government has expressed through its political platform high expectations of the higher education sector's role in solving the major global societal challenges, and to contributing to competitiveness in the business sector. Moreover, the labour market and the business sector regularly express high expectations in relation to the institutions' contribution to national and regional development of expertise, growth and added value.»* In the letter, the Ministry writes that "The foundation for our future added value and welfare lies in realizing the knowledge society", adding that *«the government's ambition is for Norway to be one of the most innovative countries in Europe».* The government's long-term plan for research supports this in three main objectives: Strengthening Norwegian competitiveness and innovativeness, solving major societal challenges, and developing world-leading academic communities. These national targets are fairly well harmonized with the goals set by the EU for Horizon 2020, the EU Framework Programme for Research and Innovation.

An important common feature of these and several other objectives is that universities and university colleges are increasingly being valued based on their ability to develop, communicate and contribute to the application of new and *useful* knowledge. Knowledge organizations are in this sense moving «higher up» in the value chain and being assigned more responsibility for providing research, education and other academic services that can help the business sector, the authorities and other players to succeed in the face of fierce competition or to deal with major societal challenges. UiO's current academic orientation and internal organization is often a strength in the competition for «open» funds in both the Norwegian and the European Research Council, whilst also creating a less favourable starting position in the competition for funds earmarked for interdisciplinary tasks with a narrow thematic focus. With this profile, UiO is faced with a strategic choice. A significant increase in research funding from future European framework programmes will require a stronger commitment to and better control of interdisciplinary research in areas that have a central place in the framework programmes. For some research groups and academic communities this is an exciting challenge, and UiO would do well to develop support measures for involvement in such projects. For several other academic communities, the Research Council of Norway and the European Research Council's «open» sources are likely to remain the most important external funding sources for the foreseeable future.

An increasing proportion of Norwegian research is funded outside of direct appropriations from Storting, and the Ministry of Education and Research assumes that this proportion will be increased further. Internationalization also means

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[2] *This is discussed in more detail in section 8.1.*

that universities and other research institutions are being exposed to stiffer competition for researchers, research funding and interesting collaboration partners. A growing number of «users» of research results are taking their bearings internationally, and choosing what they consider to be the best offer. Realization of UiO's ambition to become a *«leading»* university depends more and more on our success in providing research results that are on a par with what the strongest competitors at home and abroad can offer. One of the specific objectives set by the authorities is to increase Norwegian participation in the EU's Horizon 2020 programme by approximately 60 per cent compared to the seventh framework programme. In order to compete in this and other international competition platforms, UiO needs to secure outstanding academic communities that are able to attract robust foreign partners, and together with them obtain funding for large and important projects. Such academic communities are mostly created by extremely talented and energetic researchers with an aptitude for academic entrepreneurship. In addition, support from their own institutions is often the determining factor. In this context, strategic focus areas in line with the main objective of Strategy 2020 entail identifying and prioritizing researchers/research communities that have already reached or are well positioned to reach a «world class» level. Such support will in most cases mean giving a lower priority to other activities. Such linkages make it more difficult politically to create a synergy from fewer academic communities and tasks, as necessitated by the level of ambition in UiO's strategy document.

The institution's control of its own academic development depends to a large degree on the latitude afforded by the authorities, inter alia through key policy guidelines and letters of allocation. UiO is therefore dependent on leadership that has the ability to influence the authorities in areas where a university distinguishes itself from ordinary public sector activity. The academic activity will govern how UiO organizes its activities. Organization and leadership must also, however, factor in that UiO is an administrative body that needs to satisfy various requirements for hierarchical governance by central government. Regardless of internal organizational solutions, we must, for example, adhere to overarching regulations, a governmental funding system, reporting requirements to the owner and an annual planning cycle of budgets and annual plans etc.
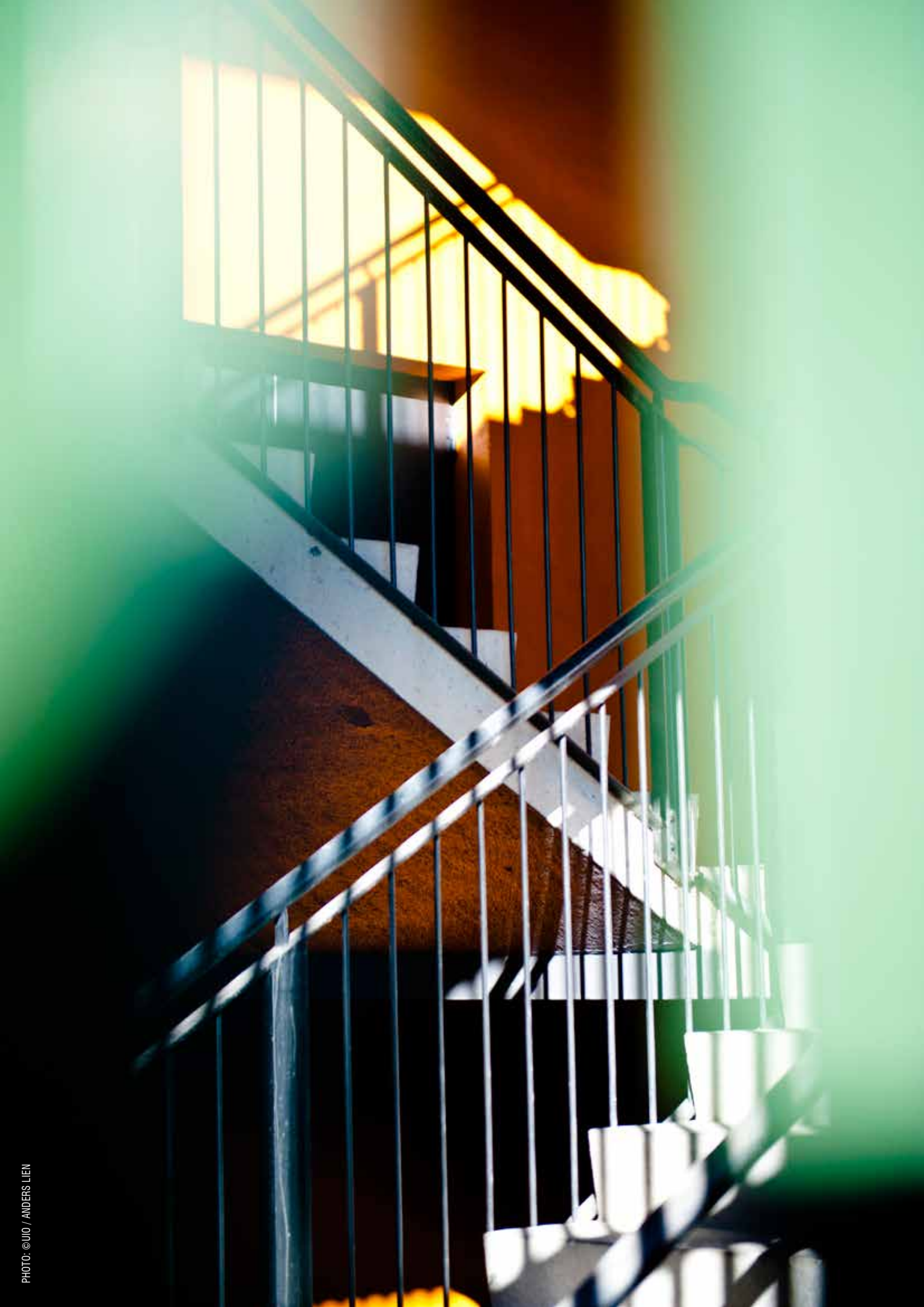
Part II: Key general challenges

Many of the suggestions from various actors in the process either overlap or are clearly connected. This has provided a basis for identifying some general challenges discussed in the reports by the three other working groups.

Chapter 4 Interaction between levels

An overarching theme that is brought up repeatedly in the reports by the other three working groups and in consultations with external partners and other actors is that UiO is struggling to achieve effective interaction between the top three levels of governance. This «common denominator» manifests itself in different ways in the respective input, but the main message from SAB and the other working groups is that better vertical integration is needed both to ensure that institutional strategic priorities are followed up in the units' activities and to stimulate and support academic involvement and new initiatives in the individual academic communities.

Group 4 considers this *combination* of effective governance from «top-down» and stimulation of academic development from «bottom-up» to be the most difficult governance and leadership challenge facing UiO. UiO is not alone in this, and should therefore try to learn from the experiences of others. The challenge is not diminished by the fact that horizontal cooperation (between units on the same level) on joint measures can also easily result in solutions that are far from optimal for UiO as an institution. This applies to, for example, the establishment and implementation of interdisciplinary programmes of study and research projects.

In order to clearly distinguish between governance from «top-down» and stimulation of academic initiative from «bottom-up» we deal with the two aspects in separate sections. In the first, section 4.1 introduces the main categories of instruments that can be used to foster the follow-up of institutionally strategic priorities at faculty and department level. In this section, the discussion of instruments relates solely to this purpose. The instruments can – with minor adjustments – be used in all areas covered by the other three working groups (education, research and interdisciplinarity). Section 4.2 provides a corresponding overview of instruments that can be used to stimulate and support the academic involvement and new initiatives from the individual academic communities. The discussion of instruments in this section also relates solely to this purpose.

4.1. Measures to improve follow-up of UiO's strategic priorities at levels 2 and 3

Group 4 will highlight three different instruments that can be used to foster the follow-up of institutional priorities at faculty and department level.

A large proportion of UiO's budget is used centrally

Under the current model for managing the financial framework, most of UiO's government appropriations are channelled to the organization, and the UiO leadership has a financial leverage of barely NOK 200 million a year. Beyond the coverage of ordinary labour and operating costs for activities at central UiO level, central allocations can be used for at least two purposes that are of interest in this context.

One is to strengthen the University leadership's opportunities for managing the implementation of priority measures. Central financing and governance is currently the standard procedure for major undertakings such as investments in costly infrastructure (such as laboratories, IT systems). At present, the maintenance of buildings is facing a significant and growing backlog. In addition, new advanced equipment is generally more expensive (and also more effective/accurate) than the old equipment, and fiercer competition for funding makes it more important than ever for UiO to have equipment that is on a par with its competitors. These trends may in themselves indicate that a larger proportion of UiO's budget should be allocated to such purposes. In addition, the University Board and UiO's central leadership need financial leverage to follow up selected strategic initiatives and priorities. Allocations for this purpose would constitute a very small part of UiO's total budget; the working group does not think that UiO should take over ordinary tasks that the Research Council of Norway or other external funding sources currently perform. An increase in central provisions will entail a redistribution of the *decision-making authority* in favour of level 1, but the greatest *benefits* of upgrading infrastructure and government appropriations for strategic academic investments will often materialize further «down» in the organization.

The other main purpose is to give subordinate units stronger incentives and more resources to follow up the priorities set by the University Board. Here, appropriate measures could be earmarked for (co-) funding more active involvement in interdisciplinary initiatives, the introduction of more challenging forms of teaching, or support for other (academic) measures to be realised at departmental and/or faculty level. A more decentralized model will give units at levels 2 and 3 more direct control over a larger proportion of UiO's budget, thereby giving the units a greater range of options to support initiatives from their own academic communities and otherwise follow up their own strategic priorities. However, the less effective the interaction between the top three levels of governance, the greater the risk that a decentralized model will lead to collective powerlessness in the interface with particularly demanding investments or (inter)disciplinary initiatives.

Thus, UiO needs the «correct» leverage at all levels. The magnitude and orientation of such leverage must be adapted to the challenges and framework conditions at any given time, but some principles can serve as guidelines for governing bodies and leaders, such that:

- At level 1 it is mainly used for major (challenging) efforts that apply to UiO as an institution (across the faculties), and the follow-up of "political/strategic" priorities.
- At level 2 it is mainly used for major efforts across departments (also outside the relevant faculty), and the follow-up |of «strategic/academic» priorities.
- At level 3 it is mainly used for «strategic/academic/operational» priorities.

In a large organization where many budget units have considerable autonomy, small reserve items in local budgets can easily add up to large unused funds for the institution as a whole. One way of improving the financial leverage at various levels is therefore to create a precedent for a greater degree of recirculation of unused funds than that traditionally practised by UiO.

The University Board restricts subordinate units' leverage through direct (regulatory) governance or by the Board retaining the decision-making authority
The legal basis for a greater degree of self-governance is enshrined in section 9.1.2 of the Act relating to universities and university colleges; *«All decisions taken at the institution by persons or bodies other than the board shall be taken with authority delegated by the board and at the responsibility of the board.»* Governance – often within a framework established by an overarching authority or laid down in the agreement structure – is currently the standard procedure in a number of areas where clear criteria, equal treatment and predictability are important considerations (such as in student admissions, personnel management and procurement). Leverage at lower levels is most stringently regulated where rules require one clearly described procedure.
A small opening for co-determination by the faculty/department exists where the University Board decides that a particular procedure should normally be applied, but at the same time allows for exceptions. An example of this is found in UiO's regulations on appointing and electing leaders at faculties and departments. In these regulations, election is the general rule, but the University Board also allows for the Board to make appointments upon recommendation by the faculty/department board/department council (see section 1.2). Here there is no delegation of decision-making authority.[3] An element of delegation would have existed if the University Board had specified two or more coordinated procedures. By juxtaposing the procedures, the Board would have left the choice between them to the individual unit.

Governing through general rules or specific directives can also be used to foster quality standards in research, education and outreach activities. Where the purpose is to ensure effective local follow-up of the University Board's academic *priorities*, however, other instruments – primarily earmarked resource allocation and vertically integrated systems of governance – generally seem to be more «targeted» and better suited to stimulating academic involvement.

Coordination through vertically integrated systems of governance
«Vertically integrated systems of governance» are defined here as a structure where leaders who work in the same area of activity at various levels have close contact and clear procedures for coordination among themselves. An example of this might be the measures to follow up the recommendation of working group 1 to establish a «Strengthened strategic leadership and coordination of UiO's focus on quality of education». Working group 4 recommends that this need is addressed by appointing a vice-rector or pro-rector[4] for education, with a more active role in education quality than that which the current pro-rector has as head of the education committee (see further details in Part III, Chapter 8). The effect of such measures will, however, depend on the organizational link between the holder of this leadership position and academic leaders with corresponding duties at faculty and (albeit less directly) departmental level. A vertically integrated system of governance shall establish a framework for consultation and joint planning, also outside the ordinary committee meetings. What we envisage is a fairly flexible model, which, by bringing leaders with operational responsibility in the individual academic communities into closer contact with leaders in the same type of activity at higher levels, can give greater gravity to the University Board and the university leadership's priorities, and stimulate local involvement.

In a large and complex organization, uncertainties and differing opinions will sometimes arise regarding the distribution of tasks and responsibilities. In the working group's discussions, some such uncertainties have been identified in the interface between uniform and joint leadership (discussed in section 6.3), and also in the delay in updating the task and authority outlines after new rules and provisions have been introduced to replace or supplement previous regulations. For both of these points, further clarification of responsibilities could help to streamline the coordination between the levels (and probably also between units at the same level). However, such measures *alone* will not be enough to exert the pressure necessary to ensure

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[3] *In UiO's ordinary rules for faculties, however, the University Board has delegated decisions on election/appointment of deans, pro-deans and departmental heads to the individual faculty (section 2.1). The Faculty of Humanities requested clarification of which rules actually apply (letter dated 22 December 2014). The University Director responded by referring to the work on the follow-up of the SAB report. The working group gives an assessment of the actual situation in section 7.1.*

[4] *The vice-rector has a different constitutional role to the "pro-rector", and in his/her role as the rector's deputy has a broad portfolio.*

effective follow-up of central priorities, particularly in relation to priorities that are not already distributed to a sufficient degree by the academic communities that are expected to contribute.

4.2. Measures to further stimulate and follow-up ideas and initiatives from the academic communities

Group 4 will highlight four instruments that can help to stimulate academic involvement in the core communities, and foster «bottom-up» initiatives.

Protection of academic freedom

«Academic freedom» is a collective term for a set of closely related ideas where the common feature is that they highlight freedom of thought and freedom of expression as fundamental premises for searching for true (tenable) knowledge and understanding. The basic assumption is that a high level of expertise without restriction will give the best results in the long term. Freedom is partly linked to the individual *institution* (institutional autonomy), and partly to the individual *researcher/educator* (individual academic freedom).

In Norway, the autonomy of universities and university colleges has long been protected through legislation (Act relating to universities and university colleges), which states that universities and university colleges «*may not be instructed*» regarding «*the academic content of their teaching and the content of research…*» and regarding «*individual appointments*» (section 1.5.3). Academic freedom as a right of the individual researcher (educator) was first enacted in 2007, (section 1.5.5). At the same time, a general obligation was imposed on universities and university colleges to «*…foster and protect academic freedom*». Overall, we could say that the current legislation on universities and university colleges provides satisfactory *legal* protection against illegitimate oversteering and illegitimate pressure.

In the daily work, the researchers' room for expression is not only determined by legislation, but equally by framework conditions, such as the available time and access to the necessary resources. Several changes in public policy, civil society and research's own organization over the past 15–20 years have affected these conditions in a positive direction for some, and in a negative direction for others. The bullet points below give some examples of such trends:

- Clearer prioritization of a particularly high level of academic quality in the allocation of large appropriations has led to significantly better working conditions for several outstanding researchers and research groups, while many others have been subject to more stringent conditions.
- Delegation from the authorities and internal reforms of governance and leadership structures have strengthened Norwegian universities' potential for setting their own priorities.
- More of the research is now conducted in collaboration with groups of varying sizes. This has impacted the interpretation of *individual* academic freedom.
- A more heterogeneous society with a rapidly growing diversity of (wide) open communication channels (social media) is likely to create new and more «minefields». Some utterances are «more dangerous» than before.

The main reason why 37% of the Norwegian participants in a recent international survey said that they fully (6%) or partly agree with the statement that their own individual academic freedom in research «*…has declined in recent years*»[5] is likely to be found in the changing framework conditions. This represents an understanding that the most important lines of defence for (individual) academic freedom are today set by economic, political and cultural framework conditions, both within and outside the higher education sector.

Stimulating cooperation internally

Effective internal collaborative relationships will be crucial to achieving goods results in both research and teaching. The respective unit leaders must have a clear responsibility to ensure that the unit's organization facilitates and stimulates productive academic collaborative constellations, as well as highlighting the synergies and development opportunities for the academic communities. UiO's units currently have extensive scope to adapt this organization to the unit's specific tasks and needs – a flexibility that we would absolutely recommend is continued. However, there is probably great potential for exchanging experiences between the units in relation to different instruments and models for organization as regards providing the best conditions for an effective internal academic cooperation.

As demonstrated by the examples below, the organization varies considerably from department to department:

- Some departments are organized into sections or research groups (at level 4), whilst others are not.
- Some departments have formalized sections/groups, whilst others have non-formalized groups.
- Some of the departments that have a form of organization at level 4 integrate both research and teaching into the level 4 units, whilst others have a different form of organization for these functions.

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[5] *Terence Karran: "The Realities of Academic Freedom in Norway". Slides from a lecture given at the Norwegian Association of Researchers' research policy seminar, Oslo, 17 November 2015.*

This is described in more detail in the appendix to the report, which includes illustrations.

These and other differences in the internal organization of departments imply there is currently a large degree of flexibility in UiO as an organization, with considerable scope for designing solutions based on local needs.

Coordination through vertically integrated systems of governance

Such systems of governance can also be «reversed», i.e. used to identify and support the ideas and initiatives «*bottom-up*». The main difference will be that the units do not possess «*instruments of power*» that correspond to those that the central leadership can use to add gravity to their priorities and expectations. In order to get vertically integrated systems of governance to work «*bottom-up*», the working method must ensure sufficient space for discussing ideas and initiatives from the academic communities. One way of doing this might be to hold regular meetings where a faculty (or a department) gives the initiator of an idea the opportunity to present an outline of a new and challenging research project or study initiative. The purpose of such a session might be to obtain advice and assistance to engage with other potentially interested academic communities at UiO, and perhaps even get tips about possible, but lesser known, sources of funding. Alternatively, such sessions can be designed as large workshops – separate from ordinary executive work – where several units and research groups can get involved. Initiating such measures should be a natural part of specific leadership roles at all levels of the organization, and internal budgets should allow for particularly promising initiatives/measures to also be able to secure financial and/or other support for further development (see section 4.1).

Project to improve researcher support

The project «Better researcher support» *(Bedre forskerstøtte)*, organized by UiO's central administration, is currently underway, and the chair and secretariat in group 4 have been in contact with the project leadership. The aim of the project is to design a programme that provides UiO's researchers and research groups with easier and better support in the competition for external funds. This project builds on a set of principles[6] that are in close harmony with the findings of the SAB report, the input from working groups 1-3 and the follow-up in working group 4. The project has developed a comprehensive model for better and more customized services for research administration. This model provides for the establishment of joint research support offices at faculty level with extensive discipline-oriented services to researchers and research groups, as well as a strengthening and clarification of strategic and administrative institutional tasks at a central level. Several units at level 2 share joint services to which small units would not have had satisfactory access on their own. A joint competence community has already been established for the Faculty of Mathematics and Natural Sciences and the Natural History Museum, and for the Faculty of Medicine and Faculty of Dentistry. Two important joint services have been given a special focus; a competence-building programme for research administration staff and a common web portal for researchers.

Summary of recommendations in Chapter 4

The working group finds that instruments in all of the categories referred to in section 4.1 could improve the university leadership's opportunities for fostering more effective local follow-up of key priorities. The effect of one of these instruments can in many cases be enhanced by combining it with other instruments. For example, an (moderate) increase in earmarked central provisions *combined with* active coordination through integrated systems of governance can contribute by providing the academic communities with stronger material incentives for follow-up and by giving the university leadership more opportunities to «keep the issue hot» and establish a common understanding with faculties and other involved units of who should do what, how and when.

The measures described in section 4.2 will not have the same effect on governance as the measures described in section 4.1. This asymmetry is quite simply a result of UiO being based on a hierarchical structure. For the academic development of UiO's research, education and outreach activities, however, systematic searches for – and stimulus and follow-up of – good ideas and new initiatives «top-down» in the academic communities can be equally or more important. The main challenge is to make the cooperation and interaction between the levels *work both ways*. This challenge must be addressed by designing incentive systems and platforms for interaction that stimulate both active participation «bottom-up» and active follow-up by academically operational leadership at all levels. Administrative aids such as the annual planning cycle etc. should have recognised built-in mechanisms that can capture the main features of such cooperation.

Chapter 5 Interaction between leaders and employees

University leadership from an external perspective is not necessarily viewed in the same way as from an internal perspective. *Externally*, the university's most important contribution to society is considered to be the development and dissemination of research-based knowledge. The university is expected to maintain a high academic and pedagogical level in relation to the education of students, to remain at the forefront of research and in the competition for research funding, and to help generate

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[6] *The principles are: (1) Subsidiarity. (2) The researcher's perspective shall be used as a basis. (3) Cooperation between external and internal revenues. (4) Cooperation between academic leadership and administrative support functions. (5) Facilitate interdisciplinarity. (6) Good support for both large and small groups/units. (7) Interaction between researcher support and other support and administrative tasks.*

research-based knowledge so that other users can utilize it in other activities. From the point of view of the authorities and taxpayers, it is also important that the organization is efficient, that it contributes to added value and competitiveness, and that it attracts as much as possible non-state funding in the form of funds from inter alia the business sector, research foundations and the EU. Viewed from an external perspective, the university leadership's task is to interpret and operationalize these expectations in a way that is beneficial for its employees, to formulate overarching objectives, and to ensure that the activities are designed in a way that enables these objectives to be achieved. The authorities, political parties and other interested parties may have their own (and sometimes divergent) views about what forms of organization, governance and leadership produce the best results. These views may be rooted in political attitudes and can change in line with general shifts in ideas about how society at large should be organized and governed, something that the emergence of the New Public Management school of thought illustrates.

Viewed internally, things look very different. Within a diverse community we will find some who like to get involved in – and also actively seek – leadership tasks, and others who want to spend most of their working hours on academic tasks. Most collegiate communities develop their own ideas about what constitutes vital, good-quality teaching, research and outreach activities. Framework conditions such as finance, administration and working conditions in general are perceived as «positively» important provided they support this collegial understanding, and «negatively» important to the degree they are perceived as obstacles. Most employees consider quality and productivity objectives in academia to be important – or at least legitimate – criteria for prioritizing limited resources, but operational objectives related to the production of credits and publication points, external funding or other indicators that are easy to measure must not «shadow» a deeper and more holistic understanding of academic quality.[7] Herein lies a useful realization for leaders, especially at level 1; it is difficult to mobilize broad enthusiasm and widespread involvement in strategic plans where such instruments and indicators come to the fore and can be (mis) interpreted as important objectives *in themselves.* The university distinguishes itself here from many other institutions in the private and public sector, where leadership and employees can more easily be united in relation to (operational) objectives that make sense for all parties. University staff members tend to think that the most important thing a good leader can do is facilitate favourable framework conditions, including sufficient resources, for activities that the academic communities develop, and to a lesser extent governance of the academic organization of this activity. This perspective is not easy to change through reorganizing the leadership and governance structures. Any proposed reforms inspired by assessments of what are *generally* regarded as appropriate, democratic or organizationally more justified systems, must also pass an institution-specific test: Will this reform help create better framework conditions for the University's research, teaching and outreach activities?

To the extent that the above description is accurate, the leadership's main challenge is likely to be building bridges between these external and internal perceptions and expectations. In this building of bridges, the leadership will face the dilemma that the view *externally* must be perceived as open, enterprising and feasible in the efforts to meet the key expectations of the authorities, the business sector and civil society, while these expectations in themselves are rarely the primary impetus for the employees who will «supply the goods». *Internally,* the leadership normally meets expectations that primarily relate to the framework conditions for teaching and research, while commitment externally to creating greater understanding of the value of curiosity-driven research, and involvement in motivational and culture-building measures that can – in the words of SAB's report – «*...create an atmosphere that allows individual originality and creativity to flourish*» represents a completely different type of leadership responsibility. Meeting both of these sets of expectations *simultaneously* will often be a daunting challenge, but if we view university leadership as interacting across the levels, a fairly varied list emerges of measures that can be helpful. The following list gives some examples, but is not exhaustive.

Recognizing the value of academic diversity

UiO is a research-intensive university with academic breadth, and the different academic communities have many disparities. A rich and complex diversity requires a corresponding differentiation of framework conditions and working conditions in general.

Clarifying the division of roles

The other working groups have all highlighted better interaction across the top three levels as a prerequisite for UiO realizing its ambitions. As stated in chapter 4 of the report, group 4 agrees with this assessment. The closest contact and most important dialogue between leaders and employees is found at level 3 or lower. Thus, it is here that codetermination in matters relating to one's own workplace can best be developed. Many heads of departments and centres are good at facilitating this, often through a combination of regular staff meetings to discuss issues relating to the unit and in staff appraisals for issues relating to the individual employee.

For leaders: involving the researchers. For researchers: involving the leaders

An important piece of feedback from the consultation with external partners was that they sometimes «lose touch» with UiO

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[7] *There are exceptions; where an indicator meets an objective that most employees consider important – such as publication of scientific material in highly regarded channels – the effect of «being rewarded» can be considerably greater than the purely financial value of the reward.*

after the initial discussion about new projects or other initiatives. This largely seems to be because some of UiO's internal decision-making processes are more complex and time-consuming – sometimes extremely time-consuming – than similar processes with partners. As stated in the report's discussion of procedures for appointments (section 7.2), group 4 believes that the scope of «passive use of time» can be reduced (i.e. when a case is «in the pending file» whilst awaiting processing in the next stage or answers to an outstanding question or other input). The first rule of thumb suggested is that where the initiative (for collaboration with external partners) is taken at an overarching level, the academic communities that are to provide UiO's contribution to this collaboration should be brought in at an *early* stage of the process. Individual academic freedom entails protection against «commands» from above. Thus, before an agreement on a specific collaboration project is signed, the leadership must clarify whether there is sufficient interest in the academic community to carry out the project (alternatively, whether new employees can be recruited through external project funding). Conversely, where a single researcher, a research group, or an academic community wants to initiate an external collaboration, and the initiator *alone* cannot provide the contribution expected by UiO, their immediate supervisor must be brought in at an early stage of the process.

Chapter 6 A balanced structure

Diversity and heterogeneity require differentiated solutions for organization and leadership, but the various solutions should be rooted in a platform that provides the necessary balance.

6.1 Organization of faculties, departments and other units

Group 4 believes that UiO should undertake a thorough review of the organization, with the emphasis on finding a structure that builds effective and open decision-making processes, including the shortest possible path from the highest body (the Board) to operational activities, and which also provides cost-effective and good-quality support functions.

As shown in the appended illustration of UiO's units and structure, the organization is characterized by a large degree of heterogeneity. The current faculty division has evolved over time, but has remained unchanged since 1996. The largest faculty has 1 839 employees (making up 1 495 FTEs), while the smallest has 57 employees (52 FTEs). The faculties vary considerably in relation to the complexity of the activities in the different communities, external collaboration platforms, finances, requirements for equipment/infrastructure, teaching organization, student numbers etc.

Group 4 recognizes that this wide diversity requires scope for a differentiated approach to organizational solutions. The fact that diversity necessitates flexibility does not preclude the need for clearer lines of responsibility, based on the general principles of organization and decision-making structures.

One way of attaining a better balance is to change the faculty structure. Group 4 has not discussed this in depth, but is concerned that such measures in themselves will not have the desired effect unless other organizational improvements are implemented in the structure we already have. Group 4 recognises, however, that it could be questioned whether UiO has a faculty structure that is designed to support a leading university of the future.

A number of department mergers have taken place in the faculties, particularly in the medical, humanities, and mathematics and natural sciences faculties. The faculties have made different choices with regard to the responsibilities and authority assigned at departmental level, partly because the departments vary considerably in size, from a few dozen employees to several hundred. Some departments are organized around disciplines or established academic communities (e.g. political science, physics), while others are conglomerates of disciplines (e.g. culture studies and oriental languages). Moreover, some departments are affiliated with large externally-funded centres or initiatives – centres that can be just as large as the actual unit. Facilitating such centres requires flexibility and adaptability in the units and strategic organization in order to ensure that the centres contribute to the departments' core activity and vice versa. Some of the departments are organized into formal 4th or even 5th sub-levels, departments, sections or groups.

The tasks and working conditions in the two university museums differ significantly from the faculties. The museums do not provide teaching (i.e. they do not receive income for credits), they have government-imposed administrative responsibilities that are partly regulated by separate laws, and they have to generate their own income in the form of sales and ticket revenues. This poses challenges in terms of academic collaboration within teaching as well as research. Despite this, the academic composition of the museums makes them natural internal partners. The museums' responsibility for their collections is a major and resource-intensive part of their work.

Group 4 has discussed whether this diversity could hamper UiO's academic activities. There have been two alternative starting points for the discussion, and the answers complement each other to some extent. One emphasizes UiO's *collective* decision-making and implementation capability. The disparity in how responsibility and authority for an area are assigned can complicate transverse interaction between the actors in general governance and collaboration lines. In some cases, the organization of teaching, the responsibility for programmes of study, the distribution of teaching resources, etc. all lie at faculty level, while others have organized this at lower levels. This means that a specific part of the leadership chain in a unit can have completely different tasks, responsibilities and authority compared with the corresponding part of the chain in another unit. Such disparities can make it difficult to achieve effective interaction across UiO's units, which in turn can weaken UiO's collective decision-making and implementation capability, particularly in terms of interdisciplinary activity.

The second basis for discussion focuses on individual employees and research groups' opportunities for realizing the

initiative «bottom-up». The more complex an organization is, the more problems it can encounter navigating its way through a decision-making structure. This challenge is also highlighted by representatives of UiO's external partners, who in discussions have characterized UiO's structure as indistinct and difficult to navigate. However, there is evidence to suggest that the faculties and departments – in the same way as organizational «satellites» such as SFF, SFI and other centres with a large degree of local autonomy – normally provide more scope for local adaptation, academic innovation and experimentation than can be achieved through closer governance from above. Where the latter effects are given priority, centralization or merging will not be the best functional solution to organizational heterogeneity. The large disparity in the organization of the departments may be an indication that UiO today scores quite high in terms of flexibility, with the corresponding scope to adapt solutions to local needs.

6.2 Principles of organization at level 3 and below

Group 4 does not recommend a uniform way of organizing departments at UiO. The group does, however, believe that further clarification of some shared and important functions that the organization should safeguard would raise awareness of the correlations between prioritized tasks and choice of organizational model.

Supporting academic objectives

The departments should be organized in a way that supports their academic objectives. The design of sub-departments/groups should be based on the departments' research and/or teaching activity. Here, the departments can make their own choices, based on their own organizational principles. For example, the sub-departments can be designed based on *research areas* or on the *subjects taught*. In both cases, care would have to be taken to ensure that responsibilities and authorities are defined and clarified for all levels and roles. Such clarification can be particularly important where different levels and/or sub-departments are responsible for the research and for the teaching.

Fostering collaboration internally and externally

The departments should be organized in a way that fosters collaboration both internally and externally. SAB's emphasis on the need for more interdisciplinary collaboration in both teaching and research illustrates how it is particularly important that any formalization of level 4 does not create new barriers to cross-discipline collaboration.

In this context, the interdisciplinary initiatives appear to be quite different from the departments' perspective. Hitherto, UiO:Energy's main strategy has been to distribute seed funds in order to encourage communities to seek funding from the Research Council of Norway/EU, and this has been done where the departments have not objected. UiO:Nordic requires stronger commitments from the departments and faculties in the form of a 50% financial contribution from groups they plan to support. This illustrates two different approaches to the participation of the departments. Furthermore, they would like interdisciplinary initiatives to develop new educational programmes. Such programmes can be a valuable addition to the existing provision, but require close cooperation – in both planning and execution – with those who have line responsibility in the relevant subject areas.

Leadership and follow-up of employees

Good leadership consolidates strategic guiding principles, based on the organization's common goals, through transparency and platforms for active participation by the employees. Good departmental leadership entails having the ability and capacity to identify and follow up individuals and groups to ensure that they develop academically and professionally and realize their potential as individuals and through collaboration.

The departments must be organized in a way that enables all employees to receive adequate follow-up. This means that large departments have a greater need for formalized sub-levels and delegation of personnel responsibility than small departments. The number of employees an HR manager might have responsibility for depends on several factors; the nature of activity, the degree of complexity and risk involved in the activity, the context of the activity and the collaboration partners involved, the number of employees in various types of positions etc. All employees should know who their immediate HR manager is, and it must be clear what kind of responsibility and authority this person has.

6.3 Uniform leadership across the entire line

For more than 10 years, UiO has had uniform leadership at faculty and department level, i.e. all responsibility, both academic and administrative, lies with the dean and department head respectively. This model has not been introduced at the central level. The current leadership at UiO level, with two separate lines of governance – an academic line from the rector via the dean to department head, and an administrative line from the university director to the dean and department head – is an asymmetrical model, which many believe impedes the dialogue on matters that entail both academic and administrative is-

sues. Shared responsibility between the rector and university director can create confusion, particularly in the interaction with subordinate parts of the chain (the deans), and to some extent also with the Board.

In his comments on the Act relating to universities and university colleges of 2005, Jan Fridthjof Bernt observes that *«The director general is the head of the overarching administrative function, also where departments (i.e. faculty) or units have been established with separate governing bodies. The director of the department (i.e. dean) and administration manager at the unit are thus subject to the director general's control and authority to issue instructions.»* (p. 192) In matters that fall under the director's portfolio, the deans will therefore answer to the university director, who in principle thus has a superior position in relation to, for example, finance and HR management, technical services, building maintenance and other administrative support services.

The working group has been in a dialogue with three faculty directors who have experience from the transition to uniform leadership in UiO's department and faculty level in 2003/2004. They were in agreement that the change from dual leadership to uniform leadership was successful. Reference was made to how uniform leadership and collective reporting produced a more orderly model with a clear demarcation of relationships of authority and a greater commitment by the dean to the entire faculty's activities. Specific positive effects of the organizational change included greater emphasis on core activities and a faster pace in the development of research and teaching. More qualitative and uniform academic prioritization, better resource management, administrative functions performed with a closer connection to the primary activities, and a closer cooperation between academic activities and administration were also mentioned. The three faculty directors also highlighted how some of these effects were enhanced by the transition to smaller faculty boards with external representatives. The boards subsequently became more of a strategic body with a holistic perspective, as opposed to «negotiation platforms» for various constellations and special interests. Many of the members of the working group have confirmed having similar positive experiences from their own communities, and in particular have pointed out that the decision-making structure became clearer.

Opinion is divided among the members of group 4 on the extent of the challenge of dual leadership at level 1, and on which measures UiO should choose in order to find a more effective solution. The majority (Amundsen, Dæhlen, Eikeset, Gornitzka, Haugsgjerd, Mjelde, Olsbye, Storsul, Taskén and Underdal) believe that the current «two-track» model has grey areas, with unclear divisions of responsibility and power, and believes that the experience gained from the introduction of uniform leadership at faculty and departmental level will also be valuable at a central level. The majority therefore recommends that UiO introduces uniform leadership at level 1. A minority (Andenæs, Bratberg, Graver, Lynne and Saether) believe that the current arrangement can work well, and that any challenges can be addressed through clearer elucidation of strategic, political and operational tasks at level 1.

As the legislation stands today – and as it will remain if Storting endorses the government's proposed amendments (Prop. 41 L from 2015–2016)[8] – the introduction of uniform leadership at level 1 will require UiO to change over to the Ministry's main model in which an external leader is appointed as head of the University Board by the Ministry, and the rector is appointed by the University Board. The working group assumes that the matter of the University's form of governance has a constitutional dimension, and hence a far broader assessment of which model will give UiO the best framework for its activities must be made. Since neither SAB or any of the other working groups have reflected on this issue, group 4 has not raised the matter for processing. In the group's work, the link that the legislation makes between uniform leadership at level 1 and an overarching governance model has, nevertheless, provided a crucial basis for both the minority and the majority's reasoning and conclusions. Several of the members that make up the minority, have explicitly referred to this link as a weighty argument against the introduction of uniform leadership at level 1. The majority, for its part, has assumed that, in the event of a transition to the Ministry's main model, UiO will make good use of the leverage that the model affords for determining how the application and recommendation procedures are devised. A united working group considers it important that the rector, through appointment, also has a mandate from the university community, and points out that there are several «hybrid models» that safeguard this consideration.

Group 4 has considered UiO's options for applying for exemption to section 10–3 of the act, which concerns the Director, or alternatively exemption in order to establish a system that is not closely considered in the proposition, namely a combination of an elected rector and uniform leadership with an external Board chair appointed by the Ministry (following a proposal from the University). However, the group considers it rather unlikely that such exemptions will be granted. Nonetheless, under the current system, with an elected rector who is also the chair of the Board, UiO can undertake a pragmatic review of the distribution of responsibilities between the rector and university director with a view to better addressing the specific challenges that levels 1 and 2 have encountered in the interface between two different models.

Reference is made to chapter 7, section 7.1 in the report, which discusses in more detail questions about the recruitment process for university leaders.

There is a general trend towards academic and administrative tasks and challenges being more interwoven today than previously. One such example is that information technology is no longer primarily about technology; it is about which digital tools and new forms of communication have the greatest impact on how research work, teaching and dissemination are carried out. The same can also largely be said about the University's premises – the buildings and their use are increasingly of

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[8] *The two alternative models defined in the Act are: 1) the Rector is elected and serves as board chair and supreme leader of the institution's academic activities, while the University Director serves as secretary to the board and supreme administrative leader (i.e. joint management). 2) The Rector is appointed as supreme academic and administrative leader, and the Ministry of Education and Research appoints an external board chair on the basis of a proposal from the institution (i.e. unitary management).*

strategic importance for the disciplines, particularly for disciplines that require specialized research equipment. The University Library has long felt that its natural organizational placement should be in the University's «academic line», and in 2011 was granted approval for this. However, the same reasoning could also be applied for placing the library in USIT and the Estate Department – the two other large units that through their priorities and decisions help to set important premises for UiO's strategic development.

The working group believes there is a need to review how the meeting structure can be adjusted to achieve, in practice, a more uniform leadership at the top level. Among other things, consideration should be given to whether the meeting of deans should be more of an academic and strategic advisory group for the rector. UiO's top leadership, i.e. the rector and university director, need a balanced and effective advisory body that can continuously support the leadership in political/strategic issues. The meeting of deans is such a body, and will work better if participation is ordinarily restricted to the university leadership and the deans.

Otherwise, the group does not examine who should participate in the various types of meetings or how many such bodies are necessary.

Summary of recommendations in Chapter 6

Although UiO's diversity requires differentiated solutions for organization and leadership, group 4 believes there is a need for greater balance in the structure.

Group 4 does not propose any specific changes to the faculty and departmental structures, but recommends a thorough review of the organization, with a view to finding a structure that supports effective and transparent decision-making processes and that is based on clear principles for what should define the respective organizational levels.

Balance is important in the leadership structure, and a majority recommends that UiO introduces uniform leadership at level 1 in order to create a symmetry in the line from the rector via the dean to the department head. A minority believe that the current dual leadership, with the university director as the chief administrative officer and the rector as the top academic leader should be continued.

Group 4 also recommends that UiO examines in more detail how the meeting structure can be adapted to achieve more balance and efficiency in the leadership bodies at the top level, for example, whether the meeting of deans should become a more academic and strategic advisory group for the rector.

Chapter 7 Recruitment

In a knowledge organization, the ability to recruit the best possible expertise is essential for the achievement of academic goals, and recruitment policy must therefore be high on UiO's agenda. How a university such as UiO manages its staff is a key factor with considerable ripple effects on academic development, not just for the institution itself but also for the research and knowledge system of which UiO is part.

The SAB report underlines the need for a more outward-looking and ambitious recruitment policy several times. These recommendations primarily apply to the recruitment of academic staff. The three other working groups appear to have based their work on this priority, and have not highlighted leader recruitment as a key question for follow-up by group 4.

However, recruitment is about attracting the «best brains» in research and teaching as well as in the various leadership roles. Securing cutting-edge expertise and quality must therefore be a basic pre-requisite when establishing recruitment mechanisms, regardless of the position concerned and the leadership tasks to be performed.

Group 4 has noted that SAB encourages UiO to «take a leadership role» in work with a number of often demanding tasks. If UiO is to meet these challenges head-on, more all-round leadership qualifications and energy are required. Group 4 has therefore decided also to include the recruitment of leaders as an explicit topic in this report.

7.1 Leaders

The working group has noted that in the 80 leader elections at levels 2 and 3 over the last ten years, there were two candidates in five elections, while in the remaining 75 there was only one candidate.[9] The explanation for the lack of open competition may be complex (discussed later in this chapter), but nevertheless having a choice of only one candidate is not a satisfactory standard process for the election of leaders.

In the same period (2005-2015), there were 92 cases of recruitment through *appointment* (heads of department, museum directors and centre directors). Thirty-four of these had only one applicant, while all the others had several applicants.[10]

Below we describe some simple measures that can help to strengthen UiO in the competition for the best academic leaders that are available.

At research-intensive universities with a broad academic profile and a similar organization to UiO, the trend of using elections alone to recruit leaders at central and faculty level has been reversed over the last 20 years. Appointing the rector has become the dominating model. The main picture among leading European universities is consistency in the system in

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[9] *Memo dated 5 August 2014 to the University Board from the University Director.*
[10] *Memoranda to the University Board from the University Director, dated 15 January and 4 February 2015.*

the sense that universities with appointed rectors also have appointed deans. Moreover, the rector now usually appoints the deans, and dismisses them if necessary. This development in itself is not an argument in favour of changing the recruitment procedure. There is also great diversity in the main picture regarding the conducting of recruitment processes and what roles the different governance bodies, external actors, staff and students play. The composition of the governance bodies also differs greatly, as do the roles the various actors play in leader recruitment.

Experiences from comparable universities are relevant to the recruitment discussion.[11] Firstly, recruitment through appointment means specifying more precisely what the role entails, and what qualifications are demanded or expected of the person recruited. Secondly, top leaders at leading research universities should come from academia and possess outstanding academic qualifications. Thirdly, codetermination and underpinning in the academic staff and the University's mission are key requirements in the recruitment of universities' top leaders (see for example recent reform proposals in the Dutch university system).

Several possible measures

We can discern two types of election: the current model (for the election of rector) and a model with an active search and a recommendation by an election committee. Correspondingly, there are two types of appointment, one with an active search and a mandate from the university community, and one in which no such mandate is required. Thus, between these extremes of election and appointment, different hybrid models could be envisaged with elements of both leader-based recruitment and voter-based endorsement.

Group 4 agrees that the current practice of recruitment of leaders for important positions at UiO is in need of review. Such a review should include a broad spectrum of solutions as well as a range of variants of the hybrid model.[12] The group wishes to underline that regardless of what method of recruitment is used, the qualifications required for appointment to the post in question must be clearly described. Today, excellent candidates for many leadership positions at the University can also be found in external academic communities nationally and internationally. External candidates have the opportunity to apply for the posts advertised, but cannot be candidates in the election of leaders at lower levels of the organization. This practice should be changed so that UiO does not impose unnecessary and unfortunate restrictions on itself regarding the availability of qualified candidates.

Remove provisions that exclude candidates who are not employed at the unit in question

Levels 2 and 3: UiO's regulations on appointing and electing leaders at faculties and departments contain such a provision. When appointment is by election, the following applies (section 6-1): *Permanent academic staff holding at least a 50 per cent post at the faculty can be elected to the office of dean/vice dean.* The same regulations include a corresponding restriction regarding the election of the head of department/deputy. Such a provision limits the range of candidates, and directly conflicts with SAB's call for the University to be more outward-looking and *«more focused on attracting global talent.»* Group 4 is unaware of any corresponding restrictions in the recruitment of academic, administrative or technical positions. Small departments with a stretched economy may have a justified wish to avoid the extra costs arising from appointing a leader from outside the University. However, for faculties, large departments/centres, and for UiO as a whole it is difficult to find good arguments for categorically excluding all external candidates. If the aim of the rule is to ensure that the dean (head of department) has a high degree of competence in the unit's subject area, the regulations should make this an explicit requirement for *all* candidates. In the case of *appointment*, vacancies must be announced publicly, pursuant to section 2 of the Civil Service Act, which allows for external applicants.

Level 1: The current provisions on the election/appointment of the rector/pro-rector already allow for external candidates. The election of the rector/pro-rector involves a time-consuming election campaign. It does not specifically exclude external candidates, but some undoubtedly experience active participation in such an election campaign as difficult to reconcile with the commitments of their present position at another institution. Most potential candidates in such a situation would probably find it easier to combine the ordinary appointment process with their current commitments. Even in ordinary appointment processes, an external candidate has sometimes requested that their name be withheld for such reasons.

Conduct an active search for well-qualified candidates

Levels 2 and 3: When the dean (head of department) is chosen by election, the regulations for appointing and electing leaders at faculties and units (hereinafter the Regulations) prescribe not only the appointment of an *election board* to ensure that the election is properly administered, but also an *election committee* consisting of one student, one technical/administrative employee and two academic employees from the unit itself. This committee must «*...ensure that the job description is made known to both voters and potential candidates, and that the candidates are presented in a way that gives voters a solid basis for assessing their qualificati-*

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[11] Engwall, L. (2014) "The recruitment of university top leaders: Politics, communities and markets in interaction," 30(3): 332-343.

Goodall, A. H. (2009a) 'Highly cited leaders and the performance of research universities', Research Policy, 38(7): 1079-1092.

Goodall, A. H. (2009b) Socrates in the boardroom: Why research universities should be led by top scholars, Princeton University Press.

[12] *Group 4 takes "hybrid model" to mean models that combine an active search and thorough assessment of qualifications with a specific mandate from the university community.*

ons for the role. The committee itself can actively search for suitable candidates. The members of the committee have an independent right to submit proposals.» Election committees may carry out their task in different ways. The most transparent procedure is where at an early stage the committee invites all employees and students with the right to vote at the upcoming election to contribute input and advice.[13] In addition, an election committee will normally contact a selection of colleagues (also students) that the committee considers to be potentially useful advisers. The work of the election committee is completed when the recommendation has been submitted. After this is made public, there follows a period when staff and students can put forward other proposals directly to the election board. If one or several proposals have been put forward, an election will then be held. If no alternative proposals are submitted, the election committee's recommendation is deemed to be approved. For *appointment* of the dean/head of department, there are provisions related to advertisements, the recommending body and the appointing body, but no provisions regarding an active, preparatory search. UiO has experience of appointing academic leaders to museums and the majority of units at level 3 (departments, centres). An overview of appointments of heads of department prepared by central administration shows that open announcements normally lead to more applicants (candidates) than elections prepared by an election committee. Other institutions report similar patterns. A key explanatory factor appears to be enabling the inclusion of external candidates, but the work of the election committee – whereby several candidates are assessed but only one is proposed (normally) – probably also affects the ratio by reducing the number of internal candidates.

The Regulations show that the University Board itself controls deviations from the main rule that deans and heads of department shall be elected. Section 2-1 of the University's normative rules for faculties however must be interpreted as meaning that the same decisions are delegated to the individual faculty. This discrepancy must be resolved.[14] Group 4 is of the opinion that the authority to decide whether heads of department should be elected or appointed should be embedded at faculty level, while the authority to decide whether deans should be elected or appointed should continue to lie with the University Board.

Level 1: There are no provisions for an organized and active candidate search in the case of elections for rector and pro-rector. Nor are there any explicitly stated requirements as to competence.[15] Consequently, proposals are submitted by groups of employees and/or students – on their own initiative and in accordance with set rules.

Group 4 regards an active search for the best-qualified candidate(s) as being equally important for the position of rector as for the roles of dean and head of department (head of centre). The recipe for how best to conduct such a search will nonetheless depend on what procedure applies to the nomination. In the case of *election*, an adapted version of the procedure described above for the dean (head of department) can be employed. Potential adaptations might be a more broadly composed committee (to better represent UiO's diversity, and perhaps attract more external input) and a decision to invite all those entitled to vote to put forward suggestions (see above). The committee must also search actively for suitable candidates, including outside UiO's own staff. In the case of *appointment*, the composition of the search committee and the procedures for sourcing advice are even more important. Internationally, there are several models to choose from, some of which are widely divergent – including hybrid solutions where faculty members and representatives of other staff groups as well as students can contribute directly when the final decision is to be made.

We can envisage two main forms of leader recruitment that will help to strengthen the assessment of leader candidates' qualifications while ensuring legitimacy by involving staff and students. The first is a hybrid model in which leaders are appointed via a process that secures the broad involvement of students and staff. The second is an election model that introduces elements of explicit assessment of qualifications in the work of election committees.

Appointments with a high degree of involvement

Appointment processes pave the way for a systematic and transparent review of applicants' qualifications. Based on suggestions from a broadly composed recruitment committee, the University Board can thus set requirements regarding academic qualifications, experience and personal suitability that candidates must satisfy. In the final instance, the University Board will make a decision based on the recommendation of the recruitment committee.

Assessment of qualifications prior to an election

An alternative model is to introduce clearer procedures for the work of election committees such that they also explicitly assess qualifications and personal suitability. Such a model could ensure that there is broad involvement in the search for well-qualified candidates, and that the election committee is tasked with proposing at least two candidates and assessing the candidates' qualifications and personal suitability. The election will be carried out in the normal manner, with a choice between the candidates standing for election.

An important element in the current election model is the right to put forward candidates independently of the election committee's recommendation. A study of an election model with assessment of qualifications should also include an assessment of whether this right should be retained such that candidates other than those recommended by the election committee

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[13] *The advice and input given here do not have the status of official proposals.*

[14] *Memoranda from the Faculty of Humanities (dated 22 December 2014) and the University Director (dated 14 January 2015).*

[15] *Certain fundamental competence requirements can nevertheless be derived from the job description.*

can stand for election.

7.2 Staff in academic positions

Group 4 is aware that UiO is working on a new recruitment strategy for academic personnel, and assumes that the strategic aspects of recruitment will be safeguarded in this process. Nonetheless, we wish to point out the need to prioritize and advance this work, since recruitment policy and career policy are imperative to achieving overarching academic goals. In 2015, UiO advertised almost 600[16] academic positions, and these decision processes largely laid the foundation of future activity. The many minor but critical decisions on recruitment and recruitment practices constitute an important roadmap for disciplines, departments, faculties, institutions and the knowledge system. Here we also find a complex mix of guiding principles and options linked to national statutes and guidelines, funding, the demographic organizational profile of the units as well as traditions and informal norms for appropriate and legitimate recruitment procedures. Recruitment processes for scientific positions in practice represent a balancing act between the various considerations UiO must take into account. This is changing at UiO as at other European universities[17] with the same organization and mission. However, it appears that UiO is facing more formidable challenges in the international academic labour market. Some of these have no connection with the organizational and decision-making structure at the University and will not be discussed in this report. Other challenges are directly linked to how decision processes are conducted, from the advertising of the post to the appointment, especially regarding use of time. By way of comparison, UiO also appears to have (or employ) relatively few organizational instruments to ensure that the best candidates on the shortlist are actually appointed to the position for which they are recommended. This has also been the case for UiO's organizational awareness of how to exploit the leeway in recruitment and personnel policies.

Several actors in the SAB process have requested group 4 to examine purely practical appointment procedures since today's practice[18] is perceived to be hindering effective recruitment. Input to group 4 mainly stresses that appointment processes at UiO are viewed as disproportionately resource-intensive and time-consuming. Group 2 (research quality) recommended in its input to group 4 that *«Procedures in respect of appointments, including appointment without advertisement, should be reviewed with the aim of giving units at UiO greater latitude to find outstanding candidates. The current regulations appear to be cumbersome, time-consuming and to some extent rigid. The challenge here is to achieve greater flexibility while at the same time maintaining the quality requirements of case processing and formal official procedures.»*

In its proposals on recruitment, SAB stresses that UiO must develop a more globally oriented recruitment policy. Leaders of centres of excellence signalized in a dialogue with group 4 that UiO's regulation is not suited to a situation in which global competition for candidates demands speedy processes. These leaders believe that this may result in UiO losing attractive candidates. Examples of complex processes with many layers in the decision chain include recruitment without advertisement and also appointment of professors for academic management (SKO 1404). Such cases must first be processed at the centre, then by departmental bodies, then at faculty level and finally by the appointments committee of the University Board, which takes up a considerable amount of time from the start of recruitment to the final decision. This can challenge the candidates' patience, especially if they are accustomed to swifter processes in other countries, and/or if they have already received offers from other employers.

Possible measures

The aim of lengthy recruitment processes is to ensure quality and correct case processing. The involvement of several levels and many people in the assessment contributes to thoroughness, a broad decision base and democratic decision processes, and supports objectiveness. Combined with the candidates' right of access to the assessment, this promotes transparency and trust in UiO's processes, which is important for both the protection of the law and as a competitive advantage in the recruitment market. Group 4 acknowledges that these are considerations that must be retained, but questions whether the current use of resources devoted to appointments is reasonably proportionate to the results. Moreover, if current procedures have the undesired side effect that UiO loses attractive candidates, the fact that the case processing is correct is of little comfort.

Group 4 is of the opinion that the time spent on appointment processes greatly depends on how well each individual process is planned and structured, and that this concerns practical adaptation and progress planning. Nonetheless, we believe that we can also identify some possible measures related to the decision structure whereby aspects that current regulations are intended to safeguard can be dealt with equally well through less time-consuming processes.

Streamline appointment processes and pave the way for selection committees to work faster

The experience of members of the working group is that progress in appointment processes is strongly correlated to good planning and systematic preparation. There are differences in various university communities regarding the use of time, and

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[16] *This figure includes the positions of researcher, research director, associate professor, professor, professor II, postdoctoral fellow, PhD candidate, lecturer, senior lecturer, research assistant, dentist instructor, specialist dentist and senior academic librarian.*

[17] *Tatiana Fumasoli, Gaële Goastellec og Barbara M. Kehm (red.) (2015): Academic Work and Careers in Europe: Trends, Challenges, Perspectives. Dordrecht: Springer.*

[18] *For recruitment, UiO's authorizations have mainly been delegated to the non-central levels. Authorizations that are exempt from delegation to the faculty and local unit levels have been transferred to the University Board's appointments committee. A detailed overview of the distribution of authorizations is incorporated in UiO's chart of authorizations for appointments.*

the process has been successfully shortened in some cases, also in the framework of the existing regulations and procedures. One example is the appointment of researchers who function as research group leaders at NCMM,[19] who describe key success criteria as being:

- Appointing a selection committee before the application deadline expires. In the case of disqualification by reason of partiality, one member will be added to the committee, and the disqualified member will withdraw from discussion of the relevant candidates and their final ranking.
- A time schedule for the committee must be drawn up beforehand with information about when it will receive the applications, when ranking based on the interview must be undertaken, when the recommendation must be finalized etc. Moreover, a time must be set for interviews, the recommendation to the appointing body and decisions.
- When the application deadline expires, applicants will receive a letter informing them of the appointees to the committee, the further process and scheduling of interviews (if the candidate is summoned). Applicants must then reserve this date (and all applicants will be interviewed on the same day, and will give a lecture in succession).
- Every effort must be made to lighten the committee's burden of work and to ensure that the process is streamlined, both in respect of the time schedule and so that the members are willing to do the job again. This includes i) weeding out applicants – with focus on those who do not satisfy the formal criteria in the advertisement (if the committee has to do this, it is misuse of their time); ii) booking telephone meetings and iii) providing some administrative support for compiling the written documents that each of the members must produce.

Group 4 believes that considerable benefit can be gained by learning from best experience in this field, i.e. by reciprocal exchange of «best practice» between units. This has nothing to do with the formal organizational and decision structure, but with collaboration.

Group 4 has also discussed the role of the selection committee in the process. Section 6-3 of the Act relating to universities and university colleges stipulates that the recommendation should be based on expert assessment. Processing by the committee should preferably be completed within three months, but in many cases this can take much longer. This may be related to the workload of committee members, but group 4 also believes that the explanation may partly lie in the committee having to spend time on assessing an unnecessarily broad range of qualifications.

The system of expert committees is based on the requirement that the committee shall carry out a professional assessment of applicants' qualifications, but there is no precise specification of the scope of the task. The assessment of qualifications shall be carried out on a holistic basis including assessment of skills beyond purely scientific achievements, and there may be differing opinions as to how wide the scope of the committee's mandate should actually be.

UiO has a very comprehensive body of regulations pertaining to the role of the selection committee, and group 4's understanding of these regulations is that the selection committee is tasked with assessing such a broad spectrum of qualifications that it is not surprising that the process takes a long time. In accordance with the regulations, the committee must assess academic qualifications, other professional and pedagogical qualifications, qualifications for external academic activities (dissemination) and qualifications in leadership and administration. Moreover, point D of UiO's «Guidance for applicants and members of selection committees» refers to the fact that personal qualifications *«can be taken into account if the material to which the committee has access provides a foundation for such an evaluation.»* The question is whether all these elements naturally belong under the committee's mandate, or whether other bodies involved in the appointment process could be made responsible for some of them.

Group 4 recommends that UiO regulates in more detail what the selection committee should assess in order to ensure that the committee does not waste time on assessments that should be the responsibility of other parties in the appointment process. We also wish to point out that the personnel regulations for academic employees are overdue for revision in their entirety. The regulations should be simplified and clarified, and made more accessible to users, but the group regards this as a task that must be linked to the development of a new recruitment policy for the institution.

Reduction of «passive» use of time in non-controversial cases

Today, appointments involve collegiate bodies at several levels. The process begins with an academic assessment by an expert committee consisting of three members. The expert assessment constitutes the professional basis for the ensuing recommendation, which is mainly undertaken by a board, council or committee. Yet another collegiate body (board, council or committee) makes the final decision.

The use of collegiate bodies entails considerable passive use of time, because progress depends on harmonizing the meeting calendars of various bodies, many of which have a maximum of one meeting per month.

In non-controversial cases where there is agreement in the preparatory instances and no objections from applicants or any other form of dissent, it should be possible to complete processing at an earlier stage than is the case today. For example, UiO can delegate the power to make a recommendation in routine cases to a unit leader.

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[19] *Centre for Molecular Medicine Norway*

The system of selection committees rests on the principle that the committee must conduct the purely academic evaluation of the applicants' qualifications as a basis for further assessment by UiO's recommending and appointing bodies. There appears to be no persuasive argument why non-controversial assessments must be quality assured by a collegiate recommending body. In routine cases, the power of appointment should be the purview of the head of department if the appointing authority lies at faculty level, and of the dean if it lies at UiO level. Such a solution would lead to a simpler chain of decision and a faster execution of the decision, while also underlining the local employer responsibility of the unit leaders. The principle of collegiate-based decisions would still be maintained through both the collegiate appointing body and the selection committee.

Changes in the University Board's mandate
Cases dealt with by the appointments committee of the University Board have a particularly long processing time, because many levels are involved, both local academic communities and units, as well as faculty and central level. The University Board's portfolio currently includes advertisements for and appointments to professorships for academic management (SKO 1404), appointments to professorships without advertisement, so-called minority appeals and dissent between the recommending and appointing bodies (see sections 5-3 and 4-5 of the Civil Service Act), and cases in which applicants have objections to the faculty's case processing. In addition, the rector, the dean and members of the local recommending or appointing body can demand that the University Board deals with other kinds of cases.

Group 4 considers that the primary task of an appointing body is to identify the candidate best qualified for a particular position. The University Board shall mainly focus on tasks of overarching significance for UiO. In the view of the group, the University Board's role should reflect this. The mandate should make it clear that the University Board's most important contribution consists of (a) considering questions that require a clarification of general principles, criteria or procedures in respect of appointments and (b) serving as a final appellate instance in cases that cannot be resolved at a lower level.

The working group sees no good reason why the University Board should use time and resources in dealing with non-controversial individual cases; when there has been full agreement throughout the process at subordinate level(s) and there are no objections from any of the applicants it is unlikely that the University Board can contribute further. In addition, final decisions on individual appointments without advertisement and SKO 1404 professorships for academic management can be made at faculty level unless questions arise that require the University Board to issue guiding principles. Individual cases dealt with by the University Board should be limited to questions that come under the body's role as overarching premise provider, i.e. when the decision in the case may set a precedence for later appointments.

7.3 Recruitment and career development for younger researchers

Group 4 is aware that parallel processes for the development of a new recruitment strategy and career policy are taking place at UiO. Nevertheless, in its discussions the group has touched on some questions related to the recruitment of and arrangements for younger researchers.

Group 4 supports SAB's message that *«Young researchers and scholars need more mentoring on broader career perspectives than they are currently getting.»* Representatives of younger researchers in the group who are particularly concerned that random events can steer career development confirm this. This is related to the lack of clear parameters and premises that in turn limit opportunities for predictable and realistic career planning. UiO's new career policy must therefore take into account that at the start of their careers, researchers need more active individual support and greater predictability in relation to the competition they will face.

The working group has the impression that younger researchers do not receive adequate information and clear signals about how UiO intends to build up and develop talent. Given the huge diversity of academic communities, it is difficult to imagine that standardized structures will suit everyone, but four specific needs seem to have general relevance:

• Predictability in job advertisements
• Good mentoring schemes
• Targeted prioritization of project administration
• Stronger channels outside UiO – promoting researcher mobility and cross-institutional collaboration.

There are major internal differences at UiO when it comes to *predictability* in recruitment. While some units operate with recruitment plans that are accessible to potential applicants, corresponding plans at other units are unofficial and internalized in management. Younger researchers in the establishment phase find predictability an unquestionable benefit in connection with what positions they can expect in the longer term. Such plans for future positions are highly relevant for younger researchers' career planning.

Many of the needs of younger researchers are the same as those of established researchers, such as affiliation to outstanding academic communities and the support of a solid administrative infrastructure. However, younger researchers have particularly strong needs related to *mentoring schemes* and *project administration*. Mentoring schemes can provide valuable guidance in minor and major career choices, and give a solid grounding in an academic community. Good administration is relevant for project development (which many young talented researchers are involved in), as well as for bridge building with external partners.

In addition, group 4 believes that greater *researcher mobility* and external collaboration are vital for younger researchers. This is especially important for those who lack established partnership structures internally in the University, but in reality, it is relevant for all young researchers who wish to enhance their expertise and their networks.

Group 4 has also discussed challenges linked to the large proportion of temporary employment contracts in research positions in particular, agreeing that temporary appointments should be restricted to those that are strictly necessary. We note that many researchers are not offered a full-time position before the age of 40. This is questionable, not only from the gender and life phase perspective, but also because it means that UiO is unable to recruit those who are most talented or offer them a predictable research career at an age when most make permanent choices with regard to their profession and place of residence. Group 4 is aware that UiO is making efforts to reduce the number of temporary employees and that an action plan was adopted in 2014. Moreover, in 2015, with UiO's participation, the Ministry of Education and Research began mapping this with a view to identifying the reasons for the use of temporary appointments and any common denominators as the basis for further efforts aimed at reducing this in the university sector. The statutory framework and regulations are also being revised, and this may affect the conditions for temporary appointments.

Summary of recommendations in Chapter 7

Group 4 considers the ability to attract «the best brains» to all types of positions to be highly significant for achieving UiO's ambitious strategic goals, and we recommend that UiO's recruitment practices be reviewed from this angle.

Group 4 unanimously proposes that recruitment procedures for positions such as rector, dean and head of department open the door to external candidates, ensure a proper assessment of qualifications and include an active search for candidates. Group 4 has mixed opinions about whether the rector and the dean should be recruited through election or appointment. However, all agree that when this question is drafted, UiO should also evaluate different variants of the hybrid model combining the principles of open competition, a widely based search for candidates and a mandate from the university community.

In the case of academic posts, group 4 has examined purely practical appointment procedures, which are perceived to hinder effective recruitment due to current regulation. The group believes that the use of time depends on how well each individual process is planned and structured, but also proposes measures such as giving the dean or head of department the power of appointment in non-controversial cases, thus curtailing the tasks of the selection committee. Furthermore, changes to the mandate of the University Board's appointments committee are proposed such that this body can focus on questions requiring clarification of principles, in addition to being an appellate instance.

In addition, group 4 highlights the importance of prioritizing UiO's ongoing process to shape a new recruitment strategy and career policy.

Part III: Input from working groups 1–3 in the light of group 4's assessments

At the meeting between group 4 and the University Board held halfway through the process, the Board particularly requested that group 4 should explicitly assess input from groups 1-3.

To clarify group 4's response to the input of groups 1-3, we have provided schematic overviews in chapters 8, 9 and 10, in which input from the respective groups is systemized. The schematic overview shows a number of cross references when there is overlap or connections between the initiatives proposed for meeting the challenges.

Regarding the input from group 3, group 4 considers that interdisciplinarity is not a goal in itself, but an instrument for enhancing quality in research and education. Group 4 has therefore mainly integrated challenges linked to interdisciplinarity in its assessments of the areas of education and research. However, SAB highlights interdisciplinarity as a dimension of the University where there is great potential for development, stating that the institutions should work to achieve this in a different and more targeted manner in the future. Group 4 is unable to examine this in depth, but has noted that the Annual Plan 2016–18 states that *«We must clarify what will characterize strategic, interfaculty priorities at UiO, and how we can promote small-scale interdisciplinary activities. The systematic and organizational barriers to interdisciplinary activities must be mapped, with the aim of removing these as quickly as possible.»* These are tasks that group 4 regards as key prerequisites for UiO to advance the development of interdisciplinarity.

Chapter 8 Quality of education

One of the ambitions expressed in Strategy 2020 is that UiO shall offer research-based education on a par with leading international higher education institutions. This requires great commitment at all levels of UiO's educational chain.

Group 4 interprets the main signals from group 1 to mean that UiO's educational provision is hampered by a lack of uniform, coordinated governance as well as unclear top leadership and weak vertical interaction. An obvious interpretation of group 1's description of the situation is that it suggests that UiO has largely chosen to «outsource» the educational provision to the faculties, and that the actual involvement of UiO leadership in this area is perceived to be limited. If so, this is a cause for concern because it may weaken both UiO's overall power and the impact of governance as a means of goal achievement in the education area.

Group 4 is of the opinion that many of the weaknesses highlighted by group 2 can be overcome by exploiting existing structures more actively and more deliberately, but it also recognises the need for a number of formal changes.

8.1 Specific proposals

GROUP 1'S INPUT	GROUP 4'S ASSESSMENTS
A clear responsibility for educational quality work among UiO's academic top leadership Stronger strategic leadership and coordination of UiO's efforts to achieve quality in the education Greater capacity for quality development work	Since there are connections between group 1's first three proposals, they have been processed together. Group 4 recommends a stronger, more general line of governance for study programmes anchored in all levels of leadership, and suggests instruments such as: • Institutionalization of responsibility for education in the rectorate, either in the vice-rector or pro-rector function • Specification of further division of roles[20] in the general line of governance for study programmes • More active involvement of student representatives in governance and leadership[21]
Establish a platform underpinning interdisciplinary and extraordinary educational initiatives	This is of course a central issue in the follow-up of the annual plan that is discussed in the introduction to Part III of the report.

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[20] *The actual area of responsibility and authority should be specified in the description of functions pertaining to the position in question.*

[21] *Group 4 has received some input from student representatives regarding how they perceive their degree of influence. In particular, they called for more training in board work and a stronger involvement in governance and management, more active inclusion and informal meeting-places, and clarification of the consultation rights of student bodies.*

8.2 Further comments

Our method of organization creates focus. If UiO's organization gives the impression that the governance of education is of limited interest at institutional level, this will affect our attitudes to the importance of the field of education and may reduce the status and legitimacy of the educational provision.

UiO is a large, heterogeneous institution – with a very comprehensive and diverse range of study programmes. Its diversity and complexity demand differentiated governance and locally tailored solutions, but group 4 points out that all UiO's units are also part of a common system with collective responsibility for education, and together should contribute to the realization of institutional objectives. A common educational vision is a means of making these objectives visible at an overarching level, while the specific provisions for operationalizing this must be developed locally.

Central governance and leadership must also foster a uniform approach to UiO's shared tasks and responsibilities in the area of education, but must be shaped in close collaboration with the core communities.

Group 1's observations indicate that the current arrangement whereby the pro-rector chairs the Committee for Student Affairs does not secure the necessary anchoring of the field of education in UiO's top leadership. Group 4 therefore recommends a stronger underpinning whereby UiO institutionalizes the role of a vice-rector for education with overarching responsibility for UiO's educational provision in its entirety. At the same time, the role can have an important external dimension in the shape of responsibility for fronting UiO's educational activities externally. We suggest that the responsibility is preferably linked to a vice-rector function because the vice-rector has a different constitutional role to the pro-rector, who has a broad portfolio by virtue of acting as deputy for the rector. The role of vice-rector can be refined to embrace education as its primary ambit – such that there is a continuous commitment in this area.

We must aim to generate strong crosscutting alliances between core academic communities and strategic governance bodies, with a clear line of responsibility at all leadership levels for programmes of study – from the rectorate via the deans to the heads of department and operative managers such as heads of programmes of study, heads of studies and programme coordinators. The strategic and coordinating responsibility will be embedded at institutional level, while the operational and academic-pedagogical responsibility is rooted in the academic communities.

Group 4's student representative has proposed introducing 30 «free» credits in the same semester in order to make it easier to take an exchange semester or to study subjects in a different subject area. This is a good example of a topic for further discussion and clarification in a general line of governance for study programmes, headed by a member of the rectorate with educational quality at UiO as his/her area of responsibility. Decisions will then be made at the appropriate level in individual cases, but the working group believes that strengthened vertical coordination will provide a better basis for making decisions/changes locally or for the University as a whole.

The members of the Committee for Student Affairs and the deans of study in particular must safeguard the dissemination of «top-down» signals in order to ensure that institutional priorities are adopted, as well as «bottom-up» signals so that promising research initiatives are identified and their development fostered. This requires universal lines of communication to secure the transmission of such signals throughout the entire chain of command. Local organization may vary according to the distinctive features of the individual faculty, but nonetheless the close interplay of key roles such as head of department, head of programme, programme coordinator and head of studies is a basic prerequisite. The Nordic Institute for Studies in Innovation, Research and Education (NIFU) is currently preparing a review of how a number of institutions in the university and university college sector define and exploit these differing roles, and UiO is included as a case in point. When NIFU has completed the project, this will give UiO a concrete basis for examining its own practices in more detail.

In addition, group 4 also notes the need for a clearer linkage between the formal decision-making structure and advisory bodies, i.e. a clarification of how advisory structures will interact with the formal leadership and governance line, also internally at faculty and department level. For example, the functional description of the Committee for Student Affairs confirms that the committee «will take part in the preparation of educational matters to be dealt with by UiO's various bodies,» but its formal status and demarcation vis-à-vis the role of the meeting of deans, for example, is unclear. This indicates the need for further clarification.

Group 1's input also points out that the «subsidiarity model», which was introduced during the IHR process (internal streamlining process), assumes that «it is the academic communities that will steer the process and take the initiative,» and that the restructuring under IHR may «have resulted in a weakening of some of the communication and coordination linked to the implementation of work on enhancing educational quality.» A vice-rector, or pro-rector for education with active responsibility for the whole of UiO's educational field will require a certain amount of administrative assistance, but this function will be distinguished from the work of the Department of Academic Administration, which in accordance with the subsidiarity model has assumed a purely *support* function for academic communities. Group 4 does not consider examining purely administrative organization to be part of its remit. Nevertheless, we wish to point out that the internal streamlining process had a purely administrative focus. Strategy 2020 assumes that «UiO's administrative resources will be used so that the effect on the quality of research and instruction is maximised.» The academic activity will guide the choice of administrative approach, and if UiO chooses a stronger central underpinning in the work on enhancing academic quality, this may have consequences for the administrative organization.

Group 4 has also discussed the advantages and disadvantages of high student numbers, but does not find it fruitful to consider options for reducing these. This is related to the framework conditions/financing of student places, and particularly to UiO's social responsibility to provide education. However, the group wishes to highlight the importance of allocating

adequate resources to Year 1 of the bachelor programme. The first year dropout rate is high and few faculties currently follow up students individually on a large scale. A greater focus on follow-up in the first year of study may help to improve students' learning environment and have a positive impact on the throughput of students.

Chapter 9 Research quality

Achieving UiO's ambition of becoming *«a leading research-intensive university»* requires robust research communities that excel in international competition. Communities that have the potential to become world-leading need different forms of support and encouragement.

Group 2's main input is that mechanisms are required to secure interaction between UiO's top three levels in research strategy issues, such that the resource prioritization of the unit reflects institutional strategic priorities. According to group 2, *«Unless UiO succeeds in this, there is no point in attempting to engage in joint efforts to boost research quality,»* which group 4 interprets as meaning that the most critical challenge is linked to research quality.

9.1 Specific proposals

GROUP 2'S INPUT	GROUP 4'S ASSESSMENTS
Implementation of mechanisms ensuring interaction between UiO's three top levels in research strategy issues, such that institutional strategic priorities are reflected in the resource prioritization of the unit.	Group 4 believes that a more targeted focus on research quality can be achieved by combining stronger material incentives and more structured collaborative relationships. We propose: • Institutionalizing the role of the person responsible for research in the rectorate[22] • Defining the division of roles between the various levels The proposal to institutionalize the role of the person responsible for research in the rectorate is parallel to the proposal in section 8.1 to establish a similar role for education. The objective is to embed efforts to improve research quality more strongly at central level, while at the same time the role can have an important external dimension through responsibility for fronting UiO's research activities externally. The role can either be the purview of the pro-rector or the vice-rector, but as mentioned previously in the report, these functions do not have the same constitutional role.
Review of procedures relating to appointments, including the use of posts without advertisement with the aim of giving units greater room for independent action to secure outstanding candidates.	Recruitment to academic positions is dealt with separately in section 7.2 of the report, where group 4 proposes: • Reducing passive use of time on non-controversial cases • Changing the mandate of the appointments committee of the University Board • Defining the parameters for the selection committee's tasks
Review of decision-making structure related to international collaboration.	Group 4 has been informed that the majority of partnership agreements at UiO level concern student exchange. International research work is mainly developed at researcher/research group level, and group 4 believes that this is an appropriate approach, unless the project/programme requires financial or other support from UiO centrally or from one or more faculties. We have therefore found no reason to propose changes.

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[22] *Group 4 points out that UiO now has a vice-rector for the EU and innovation, and has thus made progress in this direction.*

GROUP 2'S INPUT	GROUP 4'S ASSESSMENTS
UiO must develop an organizational structure that nurtures research fellows and postdoctoral fellows.	This question is discussed in section 7.3. Group 4 assumes that this will be addressed in the ongoing process at UiO regarding career development for academic personnel, including the study of career development conducted last year under the auspices of the Norwegian Association of Higher Education Institutions, which will be an important element.
Implementation of an organizational structure for research funding.	Group 2 itself confirms, *«This has been initiated in the project 'Better researcher support», but it is mentioned here because it should be included in an overall assessment."* Group 4 has had discussions with the project leadership in «Better researcher support», and notes that group 2's input on research funding will be closely followed up through that process.

9.2 Additional comments

Like SAB, Group 4 sees two important premises for the organization of a structure that fosters academic quality. One is that *«the commitment of individual scholars and individual teams of researchers is crucial."* The other is that the institutional level must shoulder a large part of the responsibility for *«the provision of the architecture or platform necessary for the implementation of such researcher-driven initiatives.»*

Research is initiated and organized in different ways, depending on framework conditions, the nature of the subject/ discipline, the dynamics of development, different perceptions of what count as key priorities and different views of strategy development and objectives. Some projects form part of an overarching academic strategy while others are implemented based solely on the researcher's own assessment of the project's research potential.

Research strategy priorities at UiO are mainly initiated in two ways:

1) The researcher's applications for external funding are approved (SFF, SFI, FRIPRO, ERC grants, Horizon 2020). This functions primarily as a «bottom-up» process.

2) Internal UiO processes in which research funding is allocated to broad-based initiatives or is concentrated on fewer areas. UiO:Life Science, UiO:Energy, and UiO:Nordic are three such areas at UiO level, while a concentrated process, for example the change environment process at the Faculty of Mathematics and Natural Sciences, sets parameters for an open process. Both of these can be seen as a combination in which parameters are set «top-down» for proposals from the research communities, which submit research topics «bottom up».

UiO currently practices extensive steering of parameters in its budget allocations, in which most government funding is allocated almost without earmarking. Like group 2, group 4 sees a risk of this impeding the realization of initiatives. Group 2 illustrates this by remarking, *«The main body of resources is managed by the units, and significantly less control lies at central level than in other comparable institutions. This means that unless organizational levels 2, 3 and perhaps even 4 themselves have ambitions to boost their research quality, the effect of strategic initiatives at higher levels (1 and 2) will probably be under par.»*

SFF leaders have sought a more proactive approach in relation to winning bids for establishing centres, suggesting a taskforce in the Estate Department such that essential adaptions can be made to buildings immediately after the allocations are made. A model in which funding is channelled more directly from central level to individual priority areas should be combined with what is defined earlier in the report as «vertically integrated systems of governance». Overall, the increase in earmarked central allocations combined with active coordination through integrated governance systems could give academic communities both stronger material incentives and more satisfactory partnerships that are mutually reinforcing. A well-integrated vertical system of governance must also be used to elicit and support «bottom-up» ideas and initiatives. Faculties and departments must make provision for allowing initiative-takers (units, research groups and the like) to present ideas, and they must establish arenas to ensure that researchers themselves have a real opportunity to influence the development of their own subject/discipline.

SAB asserts that *«Competition fosters excellence»*, but questions whether UiO completely takes on board the competitive element that operates in the realization of academic goals. A greater degree of central prioritization of resources can also stimulate the development of a stronger performance and competition-oriented culture akin to what we see in the competition for research funding from external sources. If UiO chooses for instance to favour projects that appear to have particularly great potential, we thereby introduce a form of competition that entails preferential treatment. This implies legitimizing preferential treatment, and group 4 therefore assumes that such competition will be based on transparency, predictability and clear

criteria for the proposed allocation of centrally allocated funding. With that proviso, group 4 believes that the competition for funding can, in itself, promote a quality boost. Success in the competition for funding requires motivated researchers who recognize that winning will open up many opportunities, and this will promote the growth of solid research. Not everyone can win, but everyone can profit from the process itself, because positioning yourself inspires creative thought and places your research in new contexts.

The working group's impression is that the model of externally-funded centres (SFF/SFI/SFU and others) functions well for the most part, and the centres are all incorporated in the ordinary organizational structure within a host department. The model assumes a good dialogue between the head of department and the head of centre, and the local differences created by the different levels of funding are handled with care. When centres are established, the «bottom-up» approach should be emphasized and there must be a dedicated central leadership with active ownership, while the «top-down» level has a substantial element of practical and administrative adaptation.

UiO's internal centres represent a more heterogeneous mass, formed in many different ways («top-down» strategy, «bottom-up» strategy, flagship, national centre etc.). The participants at some centres are UiO's ordinary employees, while others recruit separately. The model for underpinning in the UiO structure may vary, depending on the assignment. An important success factor is that the centre director has a clear mandate and authority in order to safeguard autonomy and efficacy. Moreover, the initiative must have a broad scope and be embedded at a level that makes it attractive for academic personnel to focus their career/competence on this in a longer perspective. Examples of large, successful centres at UiO are the Biotechnology Centre of Oslo and the Centre for Materials Science and Nanotechnology (SMN), which both started up as strategic initiatives at the institutional level. Others have been initiated at a local level.

An important driving force is the so-called «fun factor», i.e. that researchers find it rewarding to make the effort required to produce world-class research. Access to adequate resources is a key element. In addition, inspiring and supportive leadership that is able to identify and advance promising research is needed.

UiO will rely to an increasing extent on being successful in project applications, and the allocation of funding will be based more and more on competition. Group 4 recognises that this development will affect various parts of the activity to a different degree and in a variety of ways. There may be a need for «breakwaters» in a scenario in which the ability to change is driven forward by heavy capital investment and strategic governance. These «breakwaters» partly concern UiO's social mission and management of academic breadth through research and teaching. However, many successful research efforts arise from small-scale projects driven by individual skilled researchers. For example, a scheme involving funding for small-scale research may be of great importance for the effective germination of successful research.

Chapter 10 Interdisciplinarity

High-level research is in a continuous process of development as is the application of research-based evidence in product development and other societal activities. Major progress is often made through cross-boundary linkage of hypotheses, methods or findings from two or more established disciplines. In such processes the boundaries between disciplines become less distinct and the ability to explore interfaces across traditional boundaries more important.

Interdisciplinary cooperation to answer complex research questions is also proving to be a factor of growing significance in deciding what communities are successful in the competition for external funding, also in «open» arenas. In an academic tradition that is notably based on division into disciplines, the realization of ambitions to create more interdisciplinary and multidisciplinary activity demands active stimulation of initiatives in which academic communities can exploit each other's competitive advantage.

SAB found that UiO currently lacks the strategic framework, the organizational flexibility and the internal culture necessary to develop ambitious interdisciplinary initiatives at the level expected of a university with UiO's ambitions – *«truly integrated interdisciplinarity»*. SAB's assessment of UiO on ten different dimensions shows that *«disciplinarity/interdisciplinarity»* is the profiled area in which the gap between the present situation and the desired goal is greatest. New initiatives are being developed too slowly, and are too heavily underpinned in separate disciplines. Poor strategic clarification of goals and instruments, rigidity in the organization itself and culture barriers (silo mentality) fail to give UiO the energy and room for independent action it needs to realize its own ambitions. SAB is of the opinion that in order to advance, the University must combine stronger and more targeted support for developing ideas «bottom-up» in research communities, with the building of a few larger institutional initiatives. Thus the tasks span from strategic clarification of objectives, ambitions and priorities, via organization and resource allocation, to more generally encouraging interest in cross-disciplinary academic work.

Group 3 agreed with SAB's assessment. The discussions in group 4 have also elicited that it is easy to underestimate the time necessary to develop genuine interdisciplinary research and education. The life sciences initiative at UiO is one example – this has been ongoing for more than ten years but the time is now ripe for concretizing and organizing it in a more permanent form.

10.1 Specific proposals

GROUP 3'S INPUT	GROUP 4'S ASSESSMENTS
Assess how a more systematic processing of overarching gover-nance needs can be incorporated into the governance system.	Group 4 sees connections between the first five proposals from group 3, and these are therefore dealt with as one.
Overarching governance should more effectively ensure that the organization as a whole, including the system of governance and the structure of incentives, has such processes and mechanisms in place.	Group 4 also interprets these challenges as paralleling a number of proposals on educational quality and research quality respecti-vely (see chapters 8 and 9). Here we simply point to the following measures that may be of particular interest in this context:
Assess how uniform and strategic academic leadership and guidance can safeguard capacity and clearer underpinning at institutional level and in academic top leadership: i.e. examine the function of the top leader and the strategic advisory body.	• Define the division of roles between levels • Establish vertically integrated governance systems The division of roles and clarification of responsibility between levels are discussed in more detail in section 10.2 Additional comments.
Address the need for a uniform assessment of the funding system for interdisciplinary activities – budget routines, resource allocation mechanisms.	
Examine how line responsibility of leaders can best be elucidated and organized. Emphasise the responsibilities of head of department/role.	
Clearer strategic initiatives are needed for ambitious interfaculty priority areas, including internal organization and leadership of participating groups/communities.	Group 4 points out that the 2016–2018 annual plan ensures that UiO must clarify «what should characterize strategic interdiscipli-nary initiatives at UiO and how interdisciplinary small-scale acti-vities should be promoted.» The group regards this as extremely important in giving interdisciplinary activities the boost that UiO wishes to provide. Interdisciplinary initiatives should also have the objective of developing new educational programmes.
Consider common principles and models for clear, appropriate organization of large interfaculty initiatives and also for the organi-zation of small-scale interdisciplinary initiatives.	Group 4 recommends some simple «rules of thumb» for use in central initiatives such as strategic research instruments, see specification in section 10.2 Additional comments.
Examine changes in systems and regulations that should be removed (e.g. the system of merit awards, structure of academic positons, regulations for programmes of study etc.).	Group 4 is aware that this challenge is already being dealt with through a parallel process at UiO related to the follow-up of the annual plan, which states that «Mapping of systemic and organiza-tional obstacles to interdisciplinary activities shall be implemented with the aim of removing these as quickly as possible.» Prepara-tion for interdisciplinarity is also prioritized in the project on better researcher support.
Ensure that the planning of academic positions and recruitment of research resources are safeguarded in the line manager responsibi-lity, particularly for department heads.	Group 4 assumes that this is safeguarded through UiO's ongoing efforts in connection with recruitment strategy.
Consider how committed participation can be boosted. Examine common frameworks for internal mobility.	Group 4 underlines that affected units must jointly establish basic rules for collaboration, as well as different kinds of agreement for individual commitment and the duties of the units. A more detailed specification is given in section 10.2 Additional comments.
Assess measures for organized meeting places for dialogue, exchange of experiences and cultural development.	Group 4 recommends the use of vertically integrated governance systems (see part II of the report).

10.2 Additional comments

Working group 4 bases its assessments and advice on the concurring conclusions of SAB and working group 3. Much of the input applies to overarching governance, organization and operative management, and these must be viewed in conjunction with each other. In the assessments below, working group 4 has chosen to place particular emphasis on embedding important tasks at governance levels. This is easiest for the highest and lowest levels in the organization. Within their academic portfolio most faculties will be able to safeguard the functions that largely correspond to those safeguarded by the University Board and university leadership for UiO as a whole. However, the more specific distribution of responsibilities and tasks between levels 2 and 3 must be adapted to considerable differences in size, academic breadth and the resources available for distribution among the faculties and units.

Level 1: The University Board and central university leadership have the main responsibility for drawing up common goals, clarifying the level of ambition and specifying the main strategic objectives – including the establishment of large interdisciplinary initiatives – for UiO as an institution. Level 1 has the main responsibility for ensuring that faculties and units involved also have access to instruments that facilitate follow-up, as well as overarching supervision of the development of the work.

Group 3 found that Strategy 2020 falls short as a driver and yardstick for a more ambitious investment in interdisciplinary research and education. Group 3 itself has provided important input for an overarching strategy, including a shared vision for the development of interdisciplinarity at UiO. Group 4 believes that this work provides a solid platform for future work, and anticipates that the results of further processing can be compiled in a supplement to Strategy 2020 (in respect of overarching principles) or in the form of a more operational action plan (which should be coordinated with similar measures at faculty level).

Institutional priority areas are one of UiO's strategic instruments in realizing Strategy 2020. So far the University Board has established three interfaculty initiatives for developing interdisciplinary research (UiO:Life Science, UiO:Energy, and UiO:Nordic). These have been developed stepwise without a common formula. In this respect they positively reflect the academic diversity at UiO. The priority areas also vary considerably with regard to human and material resources etc. Nonetheless, in formal terms, they all have the same main function, i.e. to mobilize high-level research expertise from various disciplines and units in jointly promoting and strengthening UiO's position as a leading research and education institution and to contribute important knowledge and insight to other societal activity. In this perspective it is vital that UiO succeeds in these interdisciplinary initiatives and learns from the experiences harvested during the establishment phase with a view to dealing with new initiatives in a purposeful manner.

Group 4 believes that it is wise to follow up group 3's proposal (included in the annual plan for 2016–18) for an overall review of any remaining ambiguities regarding the objectives, organization and management of the initiatives. Work on principles and models for organizing interdisciplinary activities is already well in hand through a study presented by a separate working group in connection with UiO:Life Science. The organization of the current initiatives is temporarily based on the group's report and proposals, but differentiation of the special features of each individual initiative has yet to be clarified.

Group 4 concludes that the use of central initiatives as research strategy instruments can be assessed on the basis of some simple rules of thumb, including:

- The initiative is firmly anchored in UiO's strategic priorities and has an academic span that exceeds the domain of the individual faculty.
- In terms of resources, the initiative has a scope that would be impossible or at least extremely difficult to achieve without central financial support. Initiatives established at central level should simultaneously be based on explicit framework agreements with the faculties involved regarding their contribution. Increased external funding should be expected in line with growth in the activity.
- The initiative brings together researchers and research groups that have already distinguished themselves in their own specialist areas, with the clear ambition of developing collaboration that will attain the level SAB describes as «*truly integrated interdisciplinarity*». This should be organized such that the key research communities (departments/centres) are actively involved in the academic leadership of the activity.
- The instrument should be used selectively, and the initiative focussed on a few areas (≤ 5) in which possibilities for cross-disciplinary academic development appear to be exceptional.
- Research-intensive initiatives should also be involved in the development of new programmes of study and «*share knowledge and improve (...) dialogue with the society-at-large*» (Strategy 2020, section 13).
- Procedures for the evaluation of proposed initiatives and advice should be clarified in more detail underway. Group 4 recommends that the process includes an international evaluation prior to the final decision to launch the initiative resolution, and also in the event of any extension of the initiative beyond the stipulated period of time. The group also recommends establishing an international advisory board (or similar) that can regularly contribute strategic academic advice after the work has begun.

Group 4 has noted that SAB advises that existing milestone initiatives should be continued and have the status of new units

for interdisciplinary leading-edge research and teaching. The group agrees that such measures can be important in harvesting long-term benefits, but also notes that the differences between the current three initiatives are so great that a single solution is unlikely to work for all of them.

Level 2: The faculties occupy a key intermediate position that may entail involvement in at least three different roles. Firstly, most faculties perform functions within their academic portfolio that largely correspond to the functions of the University Board and university leadership vis-à-vis UiO as an institution. Interdisciplinary initiatives at faculty level may also have a very wide academic span and considerable scope, and may address academic challenges that are of special interest to (some of) the faculties own research communities. Secondly, the faculties can contribute by mobilizing their own research communities in discussions about the approaches and priorities to be adopted in central interdisciplinary initiatives. Thirdly, the faculties can encourage their own research communities – through measures ranging from requests to funding – to contribute their own input within the parameters set for a central initiative.

Level 3: SAB is – with good reason – particularly concerned with securing better access to the innovation and creativity that stems from the ideas and initiatives of individuals and research groups in local research communities. The seeds of subsequent interdisciplinary initiatives at institution or faculty level are often of local origin, and in a large, complex organization such as UiO the path downwards to this source of innovation – or upwards to the line management – can sometimes seem very long. It is worrying that academic communities, and in some cases individuals, have stated that they cannot identify the internal processes they need to relate to in order to have their ideas and initiatives moved up the University's agenda. Naturally, UiO cannot commit to realizing all good project ideas, but at the same time the University must be on the lookout for new ideas and make provision for them to be given serious consideration.

Interaction

Group 3 has pointed to unclear leadership responsibility for interdisciplinarity at *all* levels, and – in the case of management functions below departmental level – often weak or deficient linkage to higher levels. Group 4 refers to the proposal to develop vertically integrated governance systems in which managers responsible for the same type of activity at different levels constitute a working partnership, with contact in excess of two to three meetings per semester. At level 3, the head of department will play a key role, but at larger and academically heterogeneous institutions it will also be important to engage administrative managers, heads of programmes of study and others who have closer contact in their daily work with individual employees and small research groups. Strategy 2020 clearly expresses the ambition for clearer roles and leadership functions, but when it comes to stimulating and promoting ideas for interdisciplinary research «bottom-up», the follow-up appears to be fairly uneven.

Two apparently straightforward problems have created friction for a fair length of time in many collaborative interdepartmental measures (faculties). One of these concerns the use of staff from UiO units other than the responsible department (faculty) in interdisciplinary programmes of study. The other relates to remuneration and accounting procedures for teaching contributions or other academic services that staff at a department (faculty) have delivered to another department (faculty). Two types of agreement could help to clarify the parties' duties in relation to each other. In one, the parties specify in more detail what (teaching) services one department (faculty) shall deliver to the department (faculty) that manages the programme in question, when these services are to be delivered and how they are to be entered into the accounts. The other type concerns combined positions, whereby the person appointed has duties at two departments (faculties). Such arrangements have long been the norm at universities in the USA and several other countries, but this has only recently become the practice at UiO. The most important difference between these two types of agreement is that the latter applies to work duties for a specified member of staff while the former normally allows the unit delivering the service greater latitude in deciding which member(s) of staff shall carry out the assignment. Group 4 recommends that the faculties concerned – if necessary with assistance from UiO's central level – reach agreement as soon as possible on the establishment of fundamental rules for constructive cooperation on interdisciplinary programmes (of study).

The most important leadership tasks in promoting and dealing with the growth of more integrated interdisciplinarity appear to be embedded in the following areas:

- Internal organization of the departments with the aim of paving the way for task sharing and affiliation.
- Cooperation on planning future positions, new recruitment, internal mobility and distribution of resources that provide capacity and competence for interdisciplinary initiatives.
- Closer links between academic leaders at the operative level (research and education managers) and line management and decision-making processes.
- Clarity in the processes and incentives that research communities and their academic leaders can access in order to assert themselves in both «top down» and «bottom up» processes.
- Preparation of platforms for the exchange of experiences and learning across disciplines.

Part IV: Final reflections

A number of individual researchers and research groups at UiO already belong to the international top league, and others can reach the same level if suitable conditions are provided. However, we are meeting fiercer competition, not least from universities in large countries with rapid economic growth and more authoritarian forms of governance. China is in the forefront of this group, with its heavy investment in the country's leading research environments. This has proved fruitful. In addition, the gap between one ranking and the next tends to increase at the top end of the most prestigious ranking lists. Group 4 interprets SAB's emphasis on the need for a stronger focus on top research in this perspective.

At the same time, UiO has a far broader social mission to accomplish. This is influenced by the fact that the University is *Norwegian* and is expected to provide expertise that Norwegian society both benefits from and needs. The implications of its social mission are clearest in the case of special Norwegian subject areas which at best have merely a peripheral position at a few foreign universities – for example, Norwegian language and literature, culture and history, Norwegian legal rules and case law. However, the expectations that society and the authorities have of the University are certainly not limited to such areas. UiO and other Norwegian universities are paid to educate a highly-qualified workforce for a broad range of professions, and to provide internationally competitive research that can be exploited in the development of better goods and services and/or in boosting the general level of knowledge in society. These are tasks that the country's leading research-intensive university has taken pride in achieving and will continue to take pride in achieving. Nonetheless, an inevitable question is to what degree the continuation of the current broad, differentiated range of studies can be reconciled with an all-out effort to bolster UiO's position as an international leading research university. This question can only be answered by referring to a specific design for the initiative. The working group has no basis for undertaking such an analysis, but wishes to point out two aspects that should be included in a wider assessment.

1) An all-out effort of the kind SAB deems necessary must chiefly concentrate on two main categories of research groups/academic communities: (a) those that are generally recognized already as leading the field internationally, and (b) those that appear to be extremely promising, where the marginal utility of further support can be assumed to be high. External funding will be crucial for both these categories, but UiO must be prepared to contribute via its «internal» budget. The greater the need for internal financing, the more concerned other academic communities will probably become about possibly having to foot the bill. In such a situation it is vital to clarify fairly rapidly how UiO's own contribution is to be funded, particularly if a managed scaling-back, phasing-out or merger of established activity is on the cards. The accounting system must show that strong investment in selected leading-edge communities can also be expected to have positive knock-on effects. If these communities succeed in lifting their own achievements to an even higher level, other (adjacent) academic communities will also benefit from their reputation, for example in the recruitment of new employees and students.

2) Two recently published government documents provide a window which UiO can perhaps use to foster greater understanding of the need for clearer prioritization of top research also in direct government appropriations to the higher education sector. The government's *Long-term plan for research and higher education 2014-2015* warns of a change in tempo, partly through measures to merge institutions, and partly through clear ambitions to enhance academic (and pedagogical) quality. The Norwegian Productivity Commission goes even further in its second report *(Official Norwegian Report 2016:3)* in stressing the need to invest in knowledge. The Commission regards the lack of world-class universities in Norway as a cause for concern, particularly when the need for reorganization in the business sector and other activities is so great. Hitherto, UiO's arguments about the inclusion of research quality as a crucial criterion for the distribution of direct government appropriations to the higher education sector have met with little understanding. At present, the financial incentives in the national budget model – in the case of research results – redistribute over time funding from the institutions that initially scored highest to those that show most *improvement* (often from a weak starting point). The Commission views the major challenges in the Norwegian economy as a strong argument in favour of more selective prioritization of top quality. For Storting and the government, the combination of loss of income and growing expenditure may pull in opposite directions, at least in the short term. In such a fluid situation, advice should in general be tentative. Group 4 can fairly confidently affirm that both of the two government documents mentioned above emphasize the need for a stronger prioritization of quality, and that UiO's Strategy 2020 and SAB's report fit well into this framework.

The working group is aware that some of the proposals presented in this report challenge the subsidiarity model on which the recently conducted IHR project (see appendix) was based. The main focus of this project was the distribution of administrative work responsibility. Many ongoing (operational) tasks were transferred to the faculties, and the Department of Academic Administration was tasked with the role of providing service and support functions for the academic communities. However, if we turn our attention to *quality development*, all three of the working groups in SAB's earlier follow-up process indicated the need for stronger internal interaction among the levels, with level 1 as a more pro-active initiator. A vice-rector for education or research, however, cannot safeguard these functions at the top level in a large organization without the direct linkage of administrative resources to the quality development work. The working group will not comment on how this should be done, but visualizes it as primarily a matter of giving a few key employees in the present Department of Academic Administration a slightly different function in Management and Support Units (LOS).

Appendix I

UiO as an institution – organization and governance

History, important events in recent years, and the challenges ahead

The University of Oslo has evolved gradually over a period of two hundred years, and the current organization is clearly influenced by the history of the University. At the beginning of 2016, the institution consisted of eight faculties with a total of 37 departments and a range of different kinds of centres, two university museums, a university library and two small, permanent centres directly subordinate to the University Board. In addition, there is a large, joint administration responsible for many different tasks. The number of employees measured in FTEs totalled 6 334 in 2015, while the number of people affiliated to the institution was considerably higher. Altogether, 27 227 students were enrolled on 45 bachelor's programmes and 93 master's or professional programmes. Female students are in the majority in many of the programmes of study – and sometimes represent a very large majority. In 2014, UiO awarded some 35 per cent of Norway's new doctorates, and a large proportion of the academic staff are research fellows. UiO has a PhD programme at each faculty.

Closer study of the institutions shows that there are striking internal differences between the faculties. Sound decisions in respect of change demand a clear picture of the starting point. This appendix, therefore, describes UiO's current organization and governance model. Some history and a few clear trends are also included, and by way of introduction a brief review is given of how UiO has been affected by politically governed changes in the higher education sector in recent years. For those who wish to explore the vibrant history of Norway's first university in more depth, it is recommended they read «The University of Oslo 1811–2011»[23].

UiO's position. From a unique institution to one of many

As the *Royal Frederick University*[24], UiO was the dominating academic institution in Norway. The University of Bergen was founded after World War II, and during the war the authorities had prioritized colleges of agriculture, technical subjects and economics.

UiO has enjoyed two periods of rapid expansion. The first began in the early 1960s and lasted until 1973. The large post-war baby-boom cohorts had reached the age when they could commence their studies, and the Norwegian State Educational Loan Fund gave many people the opportunity to study. In the course of a few years, student numbers at UiO soared from just 5 000 to over 20 000. The massive influx led to a need to appoint new employees in all subject areas. The number of academic staff grew from 662 in 1961 to 1 580 in 1977, but only 129 of the new employees were professors.[25]

The second large period of growth took place 15 years later and lasted approximately eight years. The reason was a difficult labour market that particularly affected young people, and Storting established new study places on a year by year basis. The peak was reached in 1996 when UiO was the largest university in the Nordic countries, with almost 40 000 students. The University's premises were already overcrowded in the wake of the first period of growth and were not designed to cope with the new influx of students. There were queues everywhere, and extraordinary measures were required to find room for all the new students.

Between the two periods of growth, considerable resources were used to construct a nationwide structure for higher education, and as a result UiO stagnated. The decision to establish a university in Tromsø was made in 1968. The following year, the authorities implemented a pilot scheme of district colleges, and 25 years later these represented the academic platform needed to create public university colleges.

Subsequent legislative amendments have gradually placed universities and university colleges on an equal footing, and the number of universities in Norway has increased from four to eight. The ongoing structural changes[26] will alter the institutional landscape dramatically. Even though UiO is not affected to any great extent by the large-scale mergers, the framework conditions will change. The authorities intend to establish larger and more competitive institutions, and a number are making concerted efforts to acquire university status – including the Oslo and Akershus University College of Applied Sciences. New legislative amendments are in the pipeline and a new funding system for the sector will also be in place by the 2017 budgetary year. As of 1 January 2016, the university colleges of Sør-Trøndelag, Ålesund and Gjøvik became a part of the Norwegian University of Science and Technology (NTNU), and UiO is no longer Norway's largest university.

UiO's international position

UiO has the highest ranking of Norwegian universities in international university rankings. Such rankings have existed since 2003, and UiO has retained a fairly stable position on one of the two oldest rankings: ARWU Shanghai (ranked 58th in 2015), while its ranking on the other, Times Higher Education, has varied (ranked 135 in 2015). The Spanish Webometrics ranking agency measures universities' web presence. In the February 2016 ranking, UiO is ranked second in the Nordic countries after the University of Helsinki, and 72nd on the combined international list. As regards transparency, UiO is ranked in 34th place overall and in 10th place in Europe.

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[23] *The history of the University of Oslo published in nine volumes on the occasion of the 200th anniversary in 2011. Ed. Professor John Peter Collett.*

[24] *The change of name from the Royal Frederick University to the University of Oslo took place in 1939.*

[25] *The figures are taken from Volume 8 of Jan Eivind Myhre's "University of Oslo: Kunnskapsbærerne" (The knowledge bearers) 1811-2011.*

[26] *https://www.regjeringen.no/contentassets/f9db9540d8934d54b463e85c9ec83683/sammenslaing-av-laresteder-11.01.pdf*

The ambition to achieve an even stronger international position is clearly expressed in UiO's strategic documents and in the government's long-term plans for research and higher education. Since Norway has contributed considerable sums of money to the EU's major research programmes, it is expected that a greater number of Norwegian researchers will participate and be more prominent in the competition for funding from EU programmes such as Horizon 2020. UiO takes this challenge very seriously and has had great success with some instruments. At present, UiO has 33 ERC grants, corresponding to over half of all ERC grants to Norwegian institutions.

UiO's governance in a historical perspective

UiO's earlier governance model was a loose federation of faculties where strong deans negotiated on how the university's resources should be distributed and who should act as the rector. The institution gradually attracted more and more students and the number of employees increased, leading to a growing need for institutional leadership with the resoluteness and legitimacy to make necessary changes and to redistribute resources with the university as a whole in mind. However, the discussion on more transparency and a more democratic governance model primarily concerned the composition of the University's governing body – the Collegium Academicum. In 1975, a legislative amendment enlarged the Board to 33 members. The deans were still included but they were strongly opposed to the legislative amendment, which – at least on paper – reduced their power.

The struggle between the faculties for resources still dominated the Collegium's agenda, but academic and scientific cultures continued to develop locally without the interference of others. The rector was assisted by an experienced university director, but nevertheless found his own powers insufficient. It was only in 1984 that internal agreement was finally reached about the distribution of tasks between academic and administrative leadership and about how the decision-making authority should be delegated in the organization.

The election of the rector by universal voting as practised today took place for the first time in 1992, when three candidates took part in an open competition.

Internal unrest

Throughout the period of growth in the 1960s the budget and administration increased sharply. At the same time, the economic situation of the faculties developed very differently. When stagnation occurred, a need had arisen to examine the internal distribution of resources with a critical eye in order to control the expansion in the administration. Finally, in 1984, the rector took the initiative to map the situation in more detail. This issue proved to be very controversial, and two opposing fronts came into being.

Basically, this dispute was not so much about resources as about views on the University's societal role and the institution's own self-image. Externally, UiO appeared to be unwilling to change, and again it was proposed that the universities should have new governance structures. Words like *responsibility* and *cost-effectiveness* came up again and again in the discussions – the higher education sector was an ever-growing item on the central government budget.

The relationship of trust between UiO and society was further tested by an acute internal leadership crisis that paralysed the institution in 1989, and in order to re-establish harmony, top leaders had to be replaced.

Common framework conditions for the sector

From 1 January 1990, the four existing universities and six technical colleges came under the scope of a common statute for the first time. The University Board became a small body where neither the deans nor other leaders directly under top leadership could be elected. The new statute also provided a framework for the governance of the faculties aligned with the top level model, and new regulations came into effect in a number of areas.

The following years saw a number of official government reports and several legislative amendments that affected the governance of universities and university colleges. External members joined the boards of the institutions – first two out of nine, later extended to four out of eleven. A legislative amendment in 2002 made it possible to appoint a rector and elect an external chairperson. Several institutions adopted the new governance model, but UiO chose to retain dual top leadership where the rector is both chair of the board and responsible for the academic activity of the entire institution.

A joint funding system for the sector with incentives and new reporting requirements was adopted for the first time in 2003 – and from 2006 results requirements were coordinated for the entire sector. The results achieved accounted for 30 per cent of the resource allocations for subsequent years.

Change processes affecting governance and organization

Redistributing funding from administrative to academic tasks is an ongoing challenge because the institutions are constantly being given new tasks that require administrative processing and follow-up. In the middle of the 1990s, a major *efficiency improvement project* was conducted at UiO with the aim of redistributing resources. Although expectations raised beforehand were not satisfied, the work led to administrative improvements and central reorganization.

The Quality Reform – initiated by the Ministry in 2001 – was a universal educational reform that changed the face of higher education in Norway as from the 2003/04 academic year. Bachelor and master's degrees were introduced, the academic year was extended, while the nominal length of study was reduced. The intention was that students would be able to graduate

earlier. Evaluations show that the reform far from satisfied all expectations, but UiO used the opportunity to conduct a general review and revision of the entire comprehensive portfolio of programmes of study. Shortly afterwards, the institutions were required to introduce a quality assurance system for their own educational programmes. Faculties and departments defined a wide range of new tasks as well as academic and administrative roles in education. There is no updated overview of how this functions at UiO ten years later, but NIFU is carrying out a national mapping and UiO is an object of study in the project.

Uniform leadership at faculty and departmental level was introduced at UiO in 2004. The institution also requested that uniform leadership be approved at the top level but at the same time wanted to continue to have an elected rector as the chair of the University Board. The Ministry rejected this solution because the rector would then have *too* dominating a position. At the same time, changes were made in internal governance structures at a subordinate level, and ordinary regulations for faculties and departments were adjusted. In combination, the changes in 2004 meant that UiO acquired a very complicated, hybrid governance model with large internal differences and disparities in roles and responsibilities. Since the 2004 review, the central regulations have merely been adjusted and adapted in line with minor organizational changes. The time may well be ripe for a critical and holistic review.

Academic prioritization is also an important change process for the current organization. All faculties have undertaken – and are still undertaking – such prioritizations, but the impact is greatest at the Faculty of Humanities. The establishment of *change environments* at the Faculty of Mathematics and Natural Sciences is a dynamic step in the same direction. The report *«Kvalitet og relevans. Faglige prioriteringer for forskning og utdanning ved Universitetet i Oslo»* (Quality and relevance. Academic priorities for research and education at the University of Oslo) summarized the status of this work in 2009, with the prioritizations of the academic communities presented in a separate appendix.

The IHR project, initiated internally and implemented in the period 2011 14, is the most recent major organizational project to focus on administrative development. The project transferred administrative tasks and substantial resources from central administration to the faculties. The changes applied primarily to study and research administration, HR administration and IT support. The principle was to develop a subsidiarity model with more competence and capacity locally, and for expertise that the academic communities only require now and again to be retained at central level.

Autonomy. The Norwegian Agency for Quality Assurance in Education (NOKUT) and other controlling authorities. The Office of the Auditor General

The European University Association (EUA) has measured four areas of autonomy in 47 European universities: organizational, financial, staffing and academic autonomy. In the most recent measurement from 2010, Norway is placed in a group that has a large degree of autonomy overall. However, the four areas vary greatly – academic freedom has top ranking whereas there is little autonomy in the financial area.

As the University has taken over responsibility for managing its financial framework and gained greater independence in other areas, the interest among government controlling authorities has grown in several governance areas. This has professionalized the institution in key areas but has simultaneously led to further administrative work that must be funded in the framework of the University.

In 2003, the Norwegian Agency for Quality Assurance in Education (NOKUT) was established as a separate controlling authority for higher education. Other countries led the way, and to some extent have gone much further in the direction of external quality assurance and monitoring of research and education. At present there is an ongoing discussion about whether NOKUT should also have a wider mandate.

The Office of the Auditor General is also an external actor that has detected weaknesses and insufficient effort on the part of both the authorities and the institution. This relates to financial aspects (e.g. procurement, wages) and to administrative practice (e.g. safeguarding the museum's collections, maintenance of the buildings). In 2015, the audit directly addressed the universities' core tasks (implementation of the programme of studies).

Current organizational structure at UiO [27]

The eight faculties at UiO are all very different. In terms of number of employees, the Faculty of Mathematics and Natural Sciences and the Faculty of Medicine are the two largest, and the Faculty of Theology is the smallest by a large margin. The Faculty of Mathematics and Natural Sciences has the largest budget and receives the most money from external sources, while the Faculty of Humanities has the most students.

The division of faculties has remained the same for 20 years, but a number of departments have merged during this period. The biggest change was in the Faculty of Medicine. In its earlier days, this faculty consisted of more than 100 small departments divided according to medical specialties and organized around their own professor. Today, the Faculty of Medicine only has three large departments – a division that has been adapted to the organizational structure at Oslo University Hospital,

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[27] *The illustrations in the report show the disparities between the faculties in different areas. The figure differs from UiO's official organization chart in terms of UBO's placing, and the chart has been simplified in order to more clearly show the disparities between the faculties.*

which is the faculty's symbiotic partner. The Faculty of Humanities and Faculty of Mathematics and Natural Sciences have also seen a reduction in the number of departments.

As a result of the mergers, some of the departments have hundreds of employees when including all job categories and research fellow positions. This has triggered a need for more formal organization within the administrative departments, sections and research groups, and in some places there is also a fifth level with appointed leaders. How formal this organization is and how the employer function is organized varies.

In 1999, seven museums were merged into two larger units: the Natural History Museum and the Museum of Cultural History. Like the faculties, the museums are organizationally placed in level 2, and the directors of the museums participate in the meeting of deans.

UiO also has a number of centres. The Centre for Development and the Environment (SUM) and the Centre for Gender Research (STK) are permanent centres located directly under the University Board, but most others are temporary research centres organizationally placed at department level. The number of centres has increased as a result of the introduction of the Research Council of Norway's Centres of Excellence (SFF) system in 2003. Norway has a total of 21 such centres, 10 of which are located at UiO/OUS. The lifetime of an SFF is normally 10 years. The fourth round of announcements is currently underway, and new SFF centres will be announced in 2017. The Centres for Research-based Innovation (SFI) are another category that receives support from the Research Council of Norway, but UiO's portfolio of disciplines means that, not surprisingly, it has a lower success rate with its SFI applications. Norway's first Centre of Excellence in Education (SFU), however, has been placed under UiO.[28]

Many centres have their own boards in which internal and external partners are represented, and the centres often have more interdisciplinary activities than the departments. Their participation in teaching activities varies. Most centres are far more dependent on external funding than the activity in the ordinary structure, but the University normally contributes either in the form of personnel, funding or infrastructure.

Administration

Administration at a large university covers a vast number of functions. Some tasks are concerned with the administrative and operational aspects of the organization in accordance with the applicable laws and regulations of a large institution with many employees. Other administrative tasks are closely integrated with the ongoing academic activity. Student administration and research administration are areas that require specialist expertise and extensive knowledge of the specific needs of the different disciplines. Identifying an effective way of organizing the administrative tasks that is suitable for both the small and the large units is quite a challenge due to the broad range of disciplines and the multiple levels of governance. The IHR project referred to earlier recently redistributed resources from the central level to the faculties with a view to developing a subsidiarity model, with local responsibility for all tasks that do not have to be centralized.

Following the IHR project, the joint administration function for the whole of UiO was given the name Management and Support Units. This is made up of four large and six small administrative departments. The large departments are the Estate Department and USIT, both of which have well over 200 employees, and the Department of Academic Administration and the Department of Administrative Support, which both have around 120 employees. These four departments have a close dialogue with the research communities in their respective areas of responsibility, while the other administrative departments (75 persons) are either responsible for various specific tasks for the entire university or primarily serve the central university leadership.

In the illustrations in this document, the central administration is divided into three units: the Center for Information Technology Services (USIT) and the Estate Department (EA), plus a residual category named Management and Support Units (LOS). This simplification is done to show what resources are allocated to what types of administrative purposes. The university director has leadership responsibility for these units. The university director also has a separate administrative line of governance to the academic communities through the deans, museum directors and the library director. This line to the faculties was formed when UiO introduced uniform leadership at the faculty and department level in 2004. Meanwhile, the university director, by law, still has overall responsibility for the University's overarching administration and for ensuring that it is effectively and appropriately coordinated in a close interaction between the levels of the organization.

Infrastructure

A university's infrastructure is a key element of its success, but the cost of keeping it up-to-date is constantly rising. Everything from old book and object collections, electronic books and journals, Internet access, computing and storage capacity, high-tech laboratories, field stations and research vessels etc. can form part of the infrastructure, as well as various types of specially equipped rooms for teaching and research. There is a tendency nowadays, also in Norway, for buildings and equipment to be more closely linked to strategic initiatives than before. IT advances in all academic communities also require a different approach to previously.

The University of Oslo Library (UBO) is Norway's largest academic library, with extensive special collections and around 250 employees. The learning centres that have been developed in recent years have steadily integrated the library into the

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[28] *The centre is a collaboration between UiO and UiT.*

academic communities. All students receive training in the use of electronic sources, and the learning centres employ staff in a wide variety of jobs. In addition to UiO's own students and staff, a further 26 000 personnel are employed at Oslo University Hospital. The library has its own board and regulations, and has four geographically separate administrative departments. UBO has traditionally been defined as part of the UiO administration, but in 2011 was moved to the academic line. In the University's official organizational chart, the library is placed at level 2, together with the faculties, and the library director participates in the meeting of deans.

The library is a shared resource for the entire university, in the same way as USIT and EA. Many employees in these three units are specialists in their fields and possess a high level of unique expertise. In order to closely integrate the infrastructure priorities with the academic strategy development at the University, there needs to be an effective interface between academic and administrative key personnel regardless of which line they belong to. This would enable both optimum use of existing resources by UiO and a forward-looking and cost-effective approach to the prioritization of innovation. The new building planned for life sciences is a step in the right direction. The same mind-set also needs to be applied when realizing UiO's new master plan. This includes finding good solutions for tomorrow's digitized workday for students and staff.

Joint bodies and collaboration platforms

UiO has two permanent committees for discussing academic topics across the organization: the *Committee for Student Affairs* chaired by the pro-rector and the *Forum for Research Deans* chaired by the vice-rector. Both committees have their own mandates, but it is unclear whether they should play a role in the organization's more formal decision-making processes and, if so, how they should be utilized.

In addition, there are three statutory bodies with different tasks (Suitability Committee, Appeals Committee and Learning Environment Committee) and various informal collaboration platforms for safeguarding the exchange of information and internal coordination within a common field of activity (e.g. Communication Council, FANE, forum for financial staff etc.), and the Estate Department conducts annual rounds of meetings with all units as part of its internal budget prioritization process.

Boards and councils. Governance regulations and authority

Boards and councils are used interchangeably at UiO, and there are boards at various levels in the organization. Some managers may be uncertain whether, or when, a line manager at a senior level can override a local board decision. The rector, deans and most department heads are their own board chairpersons, while the museums and some of the centres have boards with external leaders or boards headed by persons employed by another unit at UiO. Locally, this model may have been suitable when it was originally selected, but for UiO as a whole, it represents a very confusing and multifaceted picture. The result is that different methods are used to make the same types of decisions in the organization, making it difficult to define roles and delegate authority precisely.

In addition to the framework for governance provided for in the Act relating to universities and university colleges, UiO is subject to rules covering most aspects of its activity, which are either devised internally or are pursuant to regulations or instructions issued by public authorities.[29]

These regulations and guidelines apply to various administrative areas and must be adhered to by executive officers and managers. They all have their own specific purposes and are updated when necessary. However, few people, if any, have an overview of how they actually work in combination. With the quickening pace of change, some tried and tested standard models are needed for organization, such as for the rapid establishment of temporary activity. A growing need for organizational experience and expertise in such a large and dynamic institution is to be expected.

Distribution of resources internally

The University Board is responsible for allocating the central government's annual appropriations to UiO in a way that best meets the government's expectations. These are reflected in the annual letter of allocation from the Ministry of Education and Research and in the Ministry's governance dialogue meetings with UiO.

The higher education sector's financing model is currently going through a period of adjustment after remaining virtually unchanged since 2002. The new model will be applied as from the central government budget in 2017 and will reflect the government's policy for the entire higher education sector. Whether the changes will benefit UiO remains to be seen.

For 2015, the central government budget for UiO was NOK 5.1 billion. Of this, 32% was based on the results achieved in 2013. The basic allocation was 50%, and 18% of the appropriation was earmarked for specific purposes. UiO is a central government administrative body with special powers. Extensive regulations with detailed requirements for documentation and reporting govern how the institution spends its money. There are numerous cost centres and a large number of persons have budget disposition authority (BDM), while the procurement function at UiO is centralized in order to ensure that all major purchases are in line with public procurement regulations.

In recent years, a fixed annual planning cycle has been developed for managing UiO's financial framework. This entails tertiary reporting and regular dialogue meetings at leadership levels in between the reporting periods throughout the year. In addition to the annual allocation, plans and financial projections are drawn up for the next 5 years. University leadership's ma-

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[29] *http://www.uio.no/om/regelverk/*

nagement of the budget is primarily through the annual, internal budget allocation memorandum in which budget authority is delegated to the leadership in around 20 units, as well as in the dialogue meetings. The budget process is extensive.

Overall, 63% of UiO's budget covers labour costs, with a variation between the faculties from 55% to 68%. The figures for 2015 show a distribution of 33% for research-based education purposes, 31% for research and research training, 9% for contact with the public and gatherings, and 27% for infrastructure and services.

Traditionally at UiO, most of the central government funds are allocated without earmarking. All units must, however, cover their share of building running costs and pay internal rent to the Estate Department. In 2015, this amounted to NOK 625 million – a significant proportion of the administrative department's resource framework when the major building-related costs are excluded. The budgets of the faculties vary considerably – from the Faculty of Mathematics and Natural Sciences allocation of just over NOK 1 billion to the Faculty of Theology's NOK 44 million in 2015. The disparities are further reinforced in the external research allocations that supplement the central government budget. The Faculty of Mathematics and Natural Sciences and the Faculty of Medicine receive the most, but other research communities are not far behind, and both the Faculty of Law and the Faculty of Social Sciences received over NOK 100 million in external funds in 2015. These funds are retained and disposed of locally in their entirety. Rules are in place for how to classify indirect costs related to projects that are partially funded externally (the TDI model).

The total income from all sources amounted to just over NOK 7 billion in 2015. The advantage of the current distribution system is the high degree of predictability and stability, but the ability to adjust and redistribute funds between faculties is limited. The potential for UiO as an institution to take rapid action or invest in academic innovation in a way that would benefit an academic community is extremely limited.

A large and unresolved challenge is that a significant proportion of UiO's building stock no longer measures up. Many old buildings are also listed or protected. The situation has arisen because the central government has never made provisions for the future maintenance of buildings that are not part of its rental scheme. UiO cannot possibly fund the scale of building maintenance needed from funds allocated for education and research.

Leadership selection and new challenges

The trend towards appointing department heads at UiO is growing. The appointments method has proven to attract a greater number of candidates and probably also highly motivated individuals to such positions. Many of the successful candidates are recruited from the academic community itself. Leadership positions are advertised as fixed-term posts in order to ensure a reasonable turnover of expertise. Most department heads continue in an academic position after their leadership post comes to an end.

All faculties have elected leaders, but several of the deans have advocated that this should be changed, partly to increase the competition for such crucial leader functions. The deans are both general managers with overall responsibility for their faculty and head of the faculty board. Most faculties today also have two pro-deans who are elected along with the dean – one for research and one for education. The election period is four years, with the option for re-election for a further year. The two museum directors are employed on fixed-term contracts (two 6-year periods), and the museums have external board chairpersons. New centre heads will almost invariably be appointed by their immediate superior.

UiO elects the rector and pro-rector. The election period is four years, with the option for re-election for a further year. The rector is the head of the University Board and the University's public spokesperson, and is responsible for all academic activities at UiO. The pro-rector is the rector's deputy. Recent surveys have shown that a large majority of students and staff want the electoral system to continue. Although, by law, elections only need to be held for the rector and pro-rector, the practice in recent years has been for rector candidates to stand for election together with a large team. Neither the pro-rector or others in the rector's team have seats on the board, but form part of an extended top leadership team during the election period. The «vice-rector» title is used for those who supplement the formally elected rector team. There are also instances of a new vice-rector being appointed by the rector during the period in office.

The university director is appointed by the Board for a period of 6 years, which may be renewed once. The deputy university director is a permanent employee.

The composition of the Board is stipulated by law and has been the same since 2004. The Ministry appoints four external members, students select two, temporary academic staff select one, the technical-administrative staff have one representative and UiO's academic staff select two representatives. Including the rector, the Board has a total of 11 members. An important principle of the composition of the Board is that no single group shall have a majority.

UiO has had various initiatives in leadership training and the development of leadership groups, but currently has no fixed programme that all new leaders take part in. The programme that many cite as the most successful in recent years is the research leader programme, which is being carried out in 2016 for the 10th time. The annual programme includes four sessions and has a capacity of 40 places, some of which are open to applicants from other institutions. Valuable lessons have been learned in relation to what the research leaders feel they need to learn and what experiences they want to share, and in 2014 an adapted course was introduced for young research leaders. A similar programme is available for education leaders, but this is only held every two years and has just three annual sessions. The traditional, internal university pedagogical provision has been reorganized and updated, and currently has a waiting list of applicants.

The training provision in other areas mainly consists of short courses and often relates to providing specific insight into

framework conditions or practice in a defined subject area. A working environment can also pay companies with which UiO has a framework agreement to provide assistance with various types of development processes.

Co-determination

Employee participation and co-determination in small and large work and decision-making processes take various forms: through the election of employees to governing bodies at different levels, through the organizations' work, through the safeguarding of rights pursuant to the Basic Agreement and more informally through participation in open meetings and work processes initiated by local leadership. For smaller units, the latter is easier than for large and more heterogeneous academic communities. Heads of departments, faculties and centres, research groups and educational programmes have a large responsibility to ensure that all employees are involved in influencing academic choices and priorities confronting the community. These are challenging processes where varying considerations and opinions can be difficult to reconcile. In order to succeed, good leadership is essential, and the interaction between the levels must be clearly defined.

Health, safety and the environment + emergency preparedness

The safety of students and staff in laboratories is particularly challenging in older premises. The Faculty of Mathematics and Natural Sciences has introduced compulsory training for all of its students. Data security is another challenging area – both in relation to sensitive research data and to ensuring that data on students and staff is not compromised. Both the Norwegian Data Protection Authority and the Norwegian Board of Health Supervision want UiO to have secure computer systems and good training, and to ensure that the established rules are adhered to in all parts of the organization. USIT includes IT security work and IT legal work in all service development and processes sensitive data in accordance with statutes and regulations. Due to the growing number of data attacks by external parties and the vast number of users of UiO's computer systems – which is growing by around 10 000 every year – IT security is an ongoing and increasingly resource-intensive area of improvement.

Another area that needs ever more resources is the psychosocial learning and work environment. The systems for whistleblowing have been simplified and the leadership is reminded regularly of its responsibility to intervene in the event of something unacceptable taking place. Employee surveys are being conducted, and through a close liaison between safety officers and local leaders, the aim is to identify and address any unfavourable conditions as quickly as possible.

The safety service has undergone a major shake-up, with an emphasis on training and clear organization. In line with the IHR project, the emergency preparedness area is organized as a separate administrative department in the Management and Support Units, and training exercises are carried out in dealing with unforeseen events in a professional manner.

Recent trends

Internationalization

Many research communities at UiO have been involved in extensive international research collaborations over the years. Until World War II, Germany was one of the main partner countries – subsequently many Norwegian researchers looked to the USA. Today, UiO has collaborations with various countries around the world, and student exchange agreements have emerged as an important part of the international cooperation.

The international element in the working environments and learning environments here in Norway is also far more visible than before, and in many academic communities is extensive. Measured as a whole, the proportion of employees with foreign citizenship rose from 14.7% in 2010 to 20.2% in 2015, and the group of academic staff from other countries increased by 263 persons. The trend is just as clear in relation to the annual intake of doctoral candidates. Over the past 10 years, the proportion of foreigners has increased from 19.6% to 36.5% among new recruits, which corresponds to a growth from 107 to 205 persons. The latest figures are from 2014.

Student numbers are also increasing. In the period 2011 to 2015, the number of foreign students registered at UiO increased by 520, which is a 16.7% growth in 5 years. The number of students in this group in 2015 was 3 527. The student welfare organization in Oslo and Akershus (SiO) plays an important role in achieving this by ensuring that a large part of the housing quota is reserved for exchange students. UiO covers the cost of the reservation scheme. Every year, between 1 700 and 1 800 of SiO's new tenants are foreign UiO students. Most are here for one semester, but some stay longer.

To date, there is no survey that reveals how internationalization actually affects the academic communities at UiO, but it appears that the outstanding research communities – Centres of Excellence and others – are particularly attractive to foreign researchers who apply to come here. The impression is that it is young, talented and ambitious people who are applying, and that researchers and students alike have a positive impact on the academic communities. This development is welcomed both by the authorities and by UiO, but at the same time it presents different leadership challenges to those of 10-15 years ago.

Sophisticated equipment, infrastructure and new services

Researchers and students at a top international university must have access to first-class instruments and equipment. Research equipment can determine a university's ability to stay at the forefront of research and will often have a direct impact on recruitment opportunities in a field. Keeping abreast of developments is a very expensive business that requires an institutional procurement strategy and awareness of who should have priority access to the most advanced instruments. The Rese-

arch Council of Norway is a key financial contributor, and institutional cooperation is often a condition for particularly large investments. Access to major international equipment facilities for researchers can be bought. CERN is the most well-known facility for advanced equipment, but there are others, and the EU countries have jointly established large shared facilities. The equipment-related challenges primarily affect academic communities at the Faculty of Mathematics and Natural Sciences, the Faculty of Medicine and the Faculty of Dentistry, but the need for resources is so great that it will also affect UiO's ability to boost other disciplines. The new life sciences building that is being planned challenges UiO to be more innovative. Much of the space in the building is earmarked for unspecified users who must qualify to be accommodated. The use of the most advanced instruments requires specialist knowledge. A new breed of researchers is emerging that also have unique technical expertise – a particularly attractive combination of qualifications that will be in demand by the leading academic communiti in the future. Similar tendencies in specialized digitization expertise are also envisaged in the field of education.

The major transformation in recent years is seeing a diminishing need for scientific equipment as stand-alone, isolated facilities. Equipment is now accessible at any time via the web and is linked to various services for storage, processing, analysis, visualization, etc. – also for researchers at other institutions. The equipment is not a single, assembled facility and must be monitored and secured accordingly. Demand for such «*eInfrastructure*» is increasing, and a clear hierarchy is emerging of local, institutional, national and international infrastructure, where institutions must also establish a technical cooperation in order to make it all work. In addition, research is becoming increasingly data centric and is handling ever greater volumes of data, even in the humanities and the social sciences.

The digital revolution also affects all other areas of activity in UiO. USIT has been and remains a key national player and driving force behind UiO staying abreast of technological advances and being proactive when faced with the administrative and academic consequences of different developments. Today, the «digital exam» is a large and important project that entails changes for the entire organization. Securing research data is another priority area. The need for resources is extensive, and making prudent, forward-looking decisions is a critical challenge for the leadership. Dramatic changes are already shaking up and challenging many other industries. The higher education sector must also be prepared to work and interact in new ways and will – before we know it – be subject to completely different expectations of learning content, teaching methods and services. The potential and consequences of digitization now require a much larger focus at UiO.

Financing
Norway's total education and research budget has increased significantly in recent years. For UiO, the ordinary central government appropriation has increased fivefold in 30 years, measured in current prices. The increase is well in excess of developments in the consumer price index over the same period. The increase in the number of FTEs in academic positions is in line with the consumer price index in relation to what is funded through the central government appropriations, while the number of FTEs funded from other sources has developed in a completely different direction. The percentage increase in UiO's external funding has changed dramatically – from a modest 7% thirty years ago to around 22% of the total budget in 2015. Measured in current prices, this means a 25-fold increase, or 5 times as much as the central government appropriation has risen in 30 years.[30] The proportion of external funding is well over 50% in some academic communities.

These figures represent the sum of several deliberate changes in UiO's framework conditions: far more research funding is allocated through competitions held by the Research Council of Norway, and Norway has adopted the EU framework programme for which it pays a substantial annual sum. This also means that many more academic communities and individual researchers apply for – and receive – funding through such competitions. Future expectations in political quarters as well as internally at UiO call for a markedly higher rate of success in these competitions in the future, and all research communities are working actively to prepare more large-scale applications. The application processes are comprehensive, and the requirements for originality and quality are high. Thematic applications often require different forms of interdisciplinary cooperation, but many of the EU's thematic efforts refer primarily to medical and science communities. SAB also notes that UiO has not realized its potential in terms of interdisciplinarity. If we succeed in doing so, it should not only yield better results, but also open up more opportunities for the humanities and social sciences.

UiO has already initiated a large development project that aims to give researchers better administrative support to seek and to carry out externally funded projects. The measure entails better organization of existing human resources in a more harmonized structure, where learning and development of expertise to boost the entire institution is pivotal.

Challenges of working together
The authorities have had a strong wish for a quality-development cooperation between the institutions in the higher education sector, and since 2010 the Ministry has allocated dedicated funds to reward such initiatives. The purpose of these funds is to encourage cooperation, the sharing of work and academic concentration in Norway. Another objective of the policy is to strengthen the cooperation between academia and the Norwegian business sector in relation to education and research, and the institutions are required to establish platforms for dialogue. Everyone wants to attract the best collaboration partners, and the effort in the collaboration is naturally weighed up against what will strengthen an institution's own competitiveness. UiO is sometimes accused of being disinterested, and is often perceived as arrogant by those seeking a cooperation, but many of

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[30] *Se figur som illustrerer dette*

UiO's academic communities receive far more requests than they are able to accommodate, and often give a higher priority to international collaborations than national partnerships. Following discussions with key players outside UiO, SAB's conclusion is that UiO is too introspective and that it should endeavour to change this attitude and become more outward looking. More proactive and strategic participation by UiO is also called for in discussions that are important both for the sector and for Norway.

Other external partners that have contributed to the SAB process also paint a similar picture: waiting for a response to an enquiry from UiO can take a long time, they receive mixed signals and it is difficult to ascertain who makes what decisions in the large institution. If the latter implication is accurate, emphasis should be placed on clarifying internal communication procedures and authorizations for external enquiries – especially when they require a quick and decisive answer.

Innovation

In 2004, universities were tasked with facilitating the commercialization of research results. UiO created Birkeland Innovation to provide assistance for researchers with good ideas and to secure patent rights. In 2009, Birkeland Innovation merged with Medinnova, which carried out similar work for Oslo University Hospital. The new company, Inven2, serves researchers at UiO and the South-Eastern Norway Regional Health Authority, and is now the largest Nordic player in the commercialization of research – with the main emphasis on innovation in the medical field. In 2015, Inven2 founded 12 new companies and signed 62 new licence agreements, and the total value of the company portfolio has passed the NOK 2 billion mark. Although this figure is high, the potential is probably much greater, and the expectation for the universities to contribute to innovation is growing.

In 2016, the Faculty of Mathematics and Natural Sciences is stepping up its efforts in innovation considerably, and has set aside NOK 100 million to improve its innovation capability and foster interaction with industry. The overall commitment to 24 new fellowship positions, funded through the central government budget for 2016, is earmarked for innovation – a unique initiative that will be interesting to watch bear fruit.

More prominent and competitive institutions

SAB is concerned by UiO's unclear academic profile despite the objectives in Strategy 2020 to strengthen its international position as a research university, and challenges UiO to improve the capacity for academic prioritization, to become more competitive and to take more initiative. Meanwhile, SAB also highlights UiO's academic breadth as an important resource, and recognizes the value in the institution's tradition of strong academic disciplines. SAB is of the opinion that this should not be diminished. In practice, the different signals are not so easy to reconcile. The challenge becomes even greater when the responsibility for important national cultural-bearing subjects is juxtaposed with the need to offer a broad education portfolio. Any decision by UiO to discontinue an educational programme or a discipline is always met with strong opposition, and such processes are extremely demanding. Thus, to what extent UiO can and should follow SAB's advice is a question that merits thorough discussion throughout the organization, even though a consensus is unlikely.

Meanwhile, there are strong indications that there is growing internal understanding of UiO's needs to prioritize. One indication is that academic prioritization discussions and measures are taking place in all faculties. We are also probably coping better with the major disparities between the academic communities than before. This is an inevitable consequence of more academic communities receiving large external resources from different competition platforms. The money is not simply conjured up, it is the result of a growing desire and ability to beat the competition. This growing trend is probably largely due to the fact that Norwegian researchers now have more to compete for. International cooperation is educational, success breeds inspiration and confidence, and there is a much greater awareness today of what is required to succeed. Almost half of the present SFFs in Norway are at UiO, and a total of 47 UiO applications are pending in the 4th round of SFF announcements. UiO was recently awarded 17 of the FRIPRO Toppforsk grants from the Research Council of Norway, while 29 allocations were given to other institutions. So far, UiO has achieved results in key areas of Horizon 2020, and the efforts to *improve* the success rate of thematic proposals have been intensified. In 2016, the vice-rector was given overarching responsibility for UiO's EU work and for innovation – a clear leadership measure that can perhaps also be applied to other important areas of development.

A world-class Norwegian university?

Ever since World War II, Norwegian education policy has been guided by a goal to develop higher education throughout the country. This has been done by harmonizing the legislation for different types of institutions and through Storting's annual appropriations. This approach has proved a success, but the strong linkage we have in this country between education and research has simultaneously made it extremely difficult for Norwegian universities to compete in the increasingly fierce international competition for research. The actual effects of the financial incentives for research in the national funding model have been that the best institutions are not the most successful in the competition for funding – it is the institutions that improve the most that receive the greatest rewards.

Strategy 2020 is the first strategy document for UiO that has a clearly stated ambition to strengthen the institution's international competitiveness. However, attaining political understanding for what is actually needed to succeed has been an ongoing challenge. SAB is also concerned that the framework conditions for Norwegian universities are more challenging than in many foreign institutions, but believes that Norway should have an ambition to invest more in higher education and research

in order to ensure that the best academic communities also have international success. The government's new *Long-Term plan for research and higher education 2015-2024* warns of a change of pace, including in the institutional mergers that are taking place as part of an overarching initiative.

Internationally, the importance of universities in national restructuring has steadily grown in recent years (ref. the EU's Lisbon process that began in 2000). While many EU countries faced financial challenges in the years that followed, the winds of fortune continued to blow over Norway. There was quite simply no burning platform for change in this country. Universities in Europe are also now affected by major financial challenges; both the University of Copenhagen and the University of Helsinki are currently in the midst of a tough streamlining process, and academic communities are being scaled down or discontinued.

In 2015, a dramatic fall in oil prices had a major impact on the Norwegian economy. The oil industry is facing serious challenges, with repercussions that are also affecting many companies in other industries, leading to rising unemployment. The pace of innovation must be increased in order to create new jobs. Recognition of this has changed dramatically in a short period of time. The productivity committee (aka the Rattsø committee) has recently presented its second report and warns of an inevitable and dramatic increase in taxes if we fail to change course and make substantial readjustments. The committee believes that the Norwegian education system must change, with greater emphasis on science and technology, and that Norway's lack of a world-class university is holding us back. The recipe is greater competition for funding so that the best institutions/academic communities are rewarded. Time will tell how this will be addressed politically, but the expectations of the universities' contributions are likely to be given more focus.

Our question is how can UiO equip itself with an organization and governance structure in which strategic discussions and academic quality-development processes are given a larger platform at various levels in the institution? How can and should UiO exploit its academic breadth and strength? And how can UiO find talented and forward-looking leaders who can inspire further creativity and innovation?
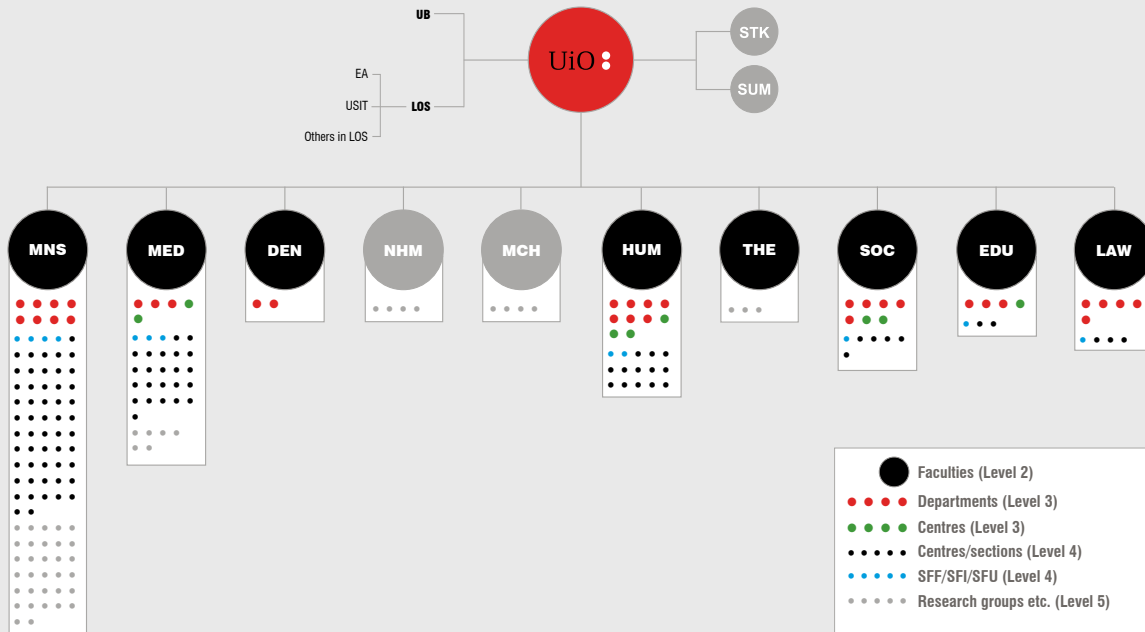
Appendix II
Illustrations to the report from the working group

Differences between the faculties
Development of the financial situation

ORGANIZATIONAL STRUCTURE OF THE FACULTIES AND MUSEUMS
Some divergences from UiO's official organization chart

UB
EA
USIT
Others in LOS
LOS

UiO

STK
SUM

MNS   MED   DEN   NHM   MCH   HUM   THE   SOC   EDU   LAW

● Faculties (Level 2)
● ● ● Departments (Level 3)
● ● ● Centres (Level 3)
● ● ● ● Centres/sections (Level 4)
● ● ● ● SFF/SFI/SFU (Level 4)
● ● ● ● ● Research groups etc. (Level 5)

UiO : University of Oslo

MNS (8 departments)

Department of Biosciences
Centre for Ecological and Evolutionary Synthesis

School of Pharmacy

Department of Geosciences
Centre for Earth Evolution and Dynamics

Department of Mathematics

Department of Chemistry
Centre for Theoretical and Computational Chemistry (CTCC)

Department of Physics
Centre for Materials Science and Nanotechnology

Department of Informatics
Centre for entrepreneurship
Sirius (SFI)

Institute of Theoretical Astrophysics

MED (3 departments)

The Biotechnology Centre of Oslo (BiO)

Centre for Molecular Medicine Norway (NCMM)

Institute of Health and Society
Centre for Global Health

Institute of Basic Medical Sciences
The Norwegian Center for Stem Cell Research
Oslo Centre for Biostatistics and Epidemiology (OCBE)

Institute of Clinical Medicine
National Centre for Suicide Research and Prevention
Norwegian Centre for Addiction Research
9 + 3 clinical departments
6 K.G. Jebsen centres
Norwegian Centre for Mental Disorders Research (NORMENT)
Centre for Cancer Biomedicine (CCB)
Centre for Immune Regulation (CIR)

DEN (2 departments)

Department of Oral Biology

Institute of Clinical Dentistry

NHM

UiO : University of Oslo

MCH

HF (7 departments)

The Norwegian University Centre in St. Petersbur

The Norwegian Institute in Rom

The Paris Centre

Department of Archaeology, Conservation and History

Department of Culture Studies and Oriental Languages

Department of Philosophy, Classics, History of Art and Ideas
Centre for the Study of Mind in Nature

Department of Literature, Area Studies and European Languages

Department of Linguistics and Scandinavian Studies
Centre for Ibsen Studies
Center for Multilingualism in Society across the Lifespan

Department of Media and Communication

Department of Musicology

THE

SOC (5 departments)

Centre for European Studies (Arena)

TIK Centre for technology, innovation and culture

Department of Sociology and Human Geography

Department of Political Science
Centre for Research on Extremism

Department of Psychology

Department of Social Anthropology

Department of Economics
Centre for the Study of Equality, Social Organization and Performance (ESOP)

EDU (3 departments)

Centre for Educational Measurement (CEMO)

Department of Teacher Education and School Research
Unit for Quantitative Analysis in Education (EKVA)
Centre for Professional Learning in Teacher Education (ProTed)

Department of Special Needs Education

Department of Education
Academic Development Group (FUP)

LAW (5 departments)

Norwegian Centre for Human Rights

Department of Criminology and the Sociology of Law

Department of Public and International Law
PluriCourts (SFF)

Department of Private Law
Norwegian Research Centre for Computers and Law (NRCCL)
Section for e-Government Studies

Scandinavian Institute of Maritime Law
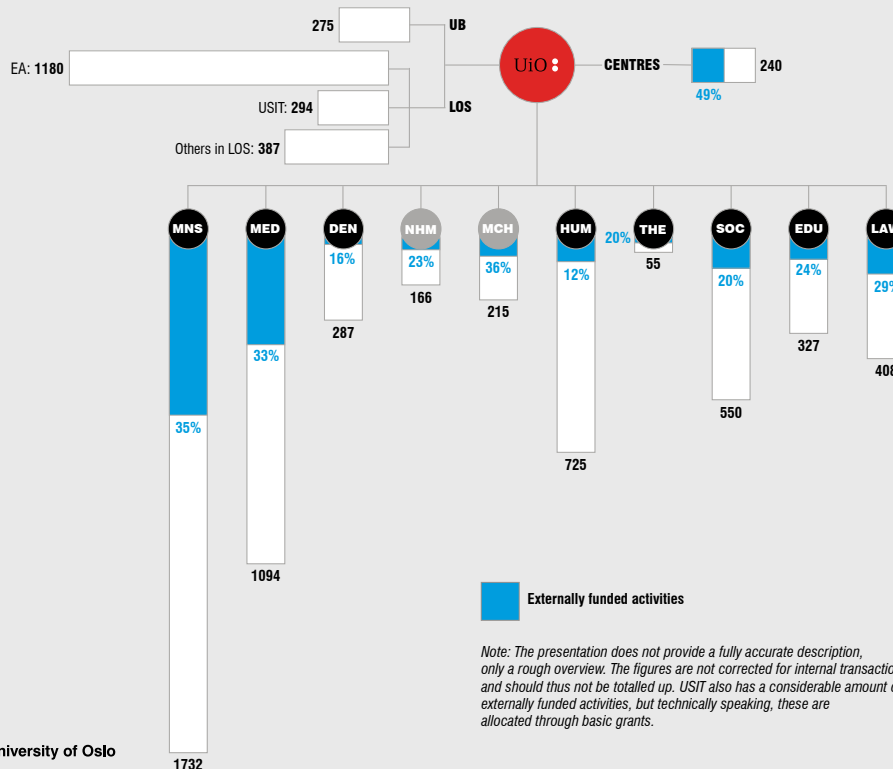Centre for European Law

TRENDS – FINANCE
UiO 1986-2015
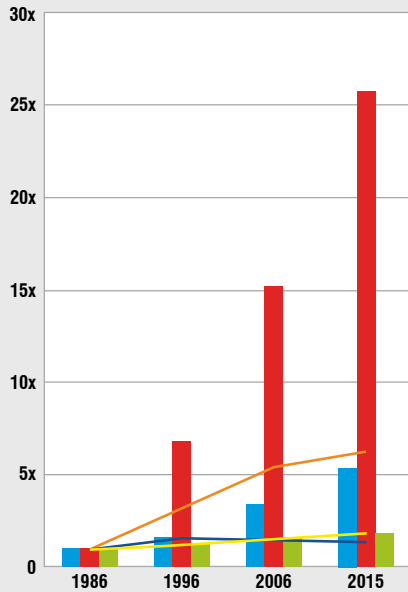
	1986	1996	2006	2015
Government grants:	1 006 071	1 801 129	3 519 140	5 138 115
Donations/assignments:	62 749	426 082	871 083	1 301 698
Other revenues:	16 659	108 899	326 538	732 406
TOTAL REVENUES:	1 085 479	2 336 110	4 716 761	7 172 219

- Regular grants
- External funding (donations/assignments/other)
- Consumer price index
- Number of students
- Academic positions
- FTEs covered by external funding

x = Multiples

UiO : University of Oslo

RESOURCE DISTRIBUTION
Accounts for 2015. Basic allocation (KD grant + other) + Externally funded activities

UB 275
EA: 1180
USIT: 294
LOS
Others in LOS: 387

CENTRES 49% 240

MNS 35% 1732
MED 33% 1094
DEN 16% 287
NHM 23% 166
MCH 36% 215
HUM 12% 725
THE 20% 55
SOC 20% 550
EDU 24% 327
LAW 29% 408

- Externally funded activities

Note: The presentation does not provide a fully accurate description, only a rough overview. The figures are not corrected for internal transactions and should thus not be totalled up. USIT also has a considerable amount of externally funded activities, but technically speaking, these are allocated through basic grants.
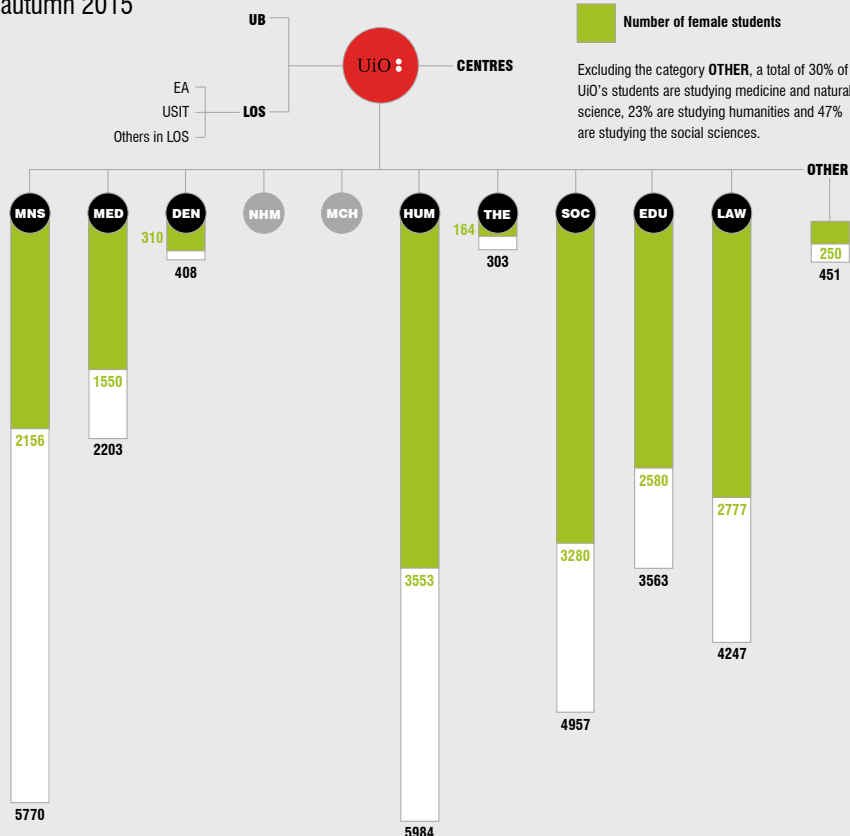
UiO : University of Oslo

STAFF (FTES)
Figures from DBH for 2015

175 / **70%**   **UB**

EA: 229 / 28%

USIT: 209 / 17%   **LOS**

Others in LOS: **313 / 68%**

UiO   **CENTRES**   **58 / 77%**

MNS   **MED**   **DEN**   **NHM**   **MCH**   **HUM**   46% **THE** 52   **SOC**   **EDU**   **LAW**

NHM 42% 127

MCH 55% 150

DEN 68% 317

SOC 48% 535

EDU 64% 313

LAW 56% 366

MNS 38% 38% 1495

MED 38% 1048

HUM 55% 732

% WOMEN
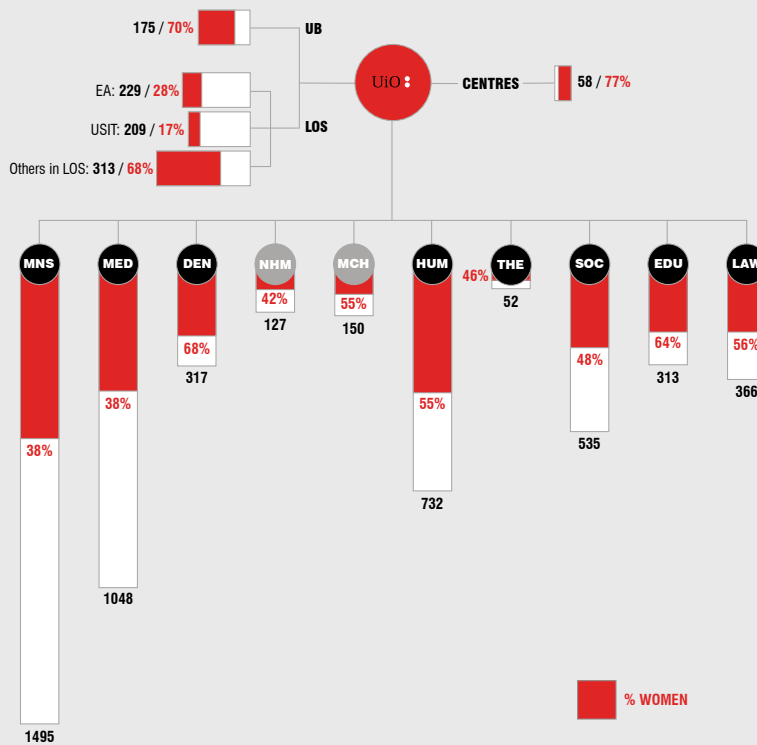
UiO **University of Oslo**

STUDENT DISTRIBUTION
Figures from DBH for autumn 2015

UB

EA

USIT   **LOS**

Others in LOS

UiO   **CENTRES**

Number of female students

Excluding the category **OTHER**, a total of 30% of UiO's students are studying medicine and natural science, 23% are studying humanities and 47% are studying the social sciences.

MNS   **MED**   **DEN**   **NHM**   **MCH**   **HUM**   **THE**   **SOC**   **EDU**   **LAW**   **OTHER**

DEN 310 408

THE 164 303

OTHER 250 451

MED 1550 2203

EDU 2580 3563

LAW 2777 4247

MNS 2156 5770

HUM 3553 5984

SOC 3280 4957

UiO **University of Oslo**

UiO **:** **University of Oslo**