

Dato: 2. juni 2016

Dagsorden for bestyrelsesmøde 3/2016

Torsdag 9. juni 2016 kl. 14-16

Mødet holdes i mødelokale 30M.1-17

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Erik Jacobsen



UDKAST

REFERAT AF BESTYRELSESMØDE 2/2016

Torsdag den 7. april 2016 kl. 12.00-15.00

Til stede:

Medlemmer:

Erik Jacobsen (Formand)

Vibe Klarup Voetmann (Næstformand)

Annette Toft

Anita Mac

Charlotte Levin

Drude Mie Rohde

Therese Cederberg Nielsen

Fraværende (med afbud)

Inga Bostad

Lisbeth Lollike

Rektorat:

Rektor Hanne Leth Andersen

Universitetsdirektør Peter Lauritzen

Prorektor Peter Kjær

Bestyrelsesformanden bød velkommen til bestyrelsesmøde 2/2016 særligt til Tine Møllerup Laigaard og Vagn Bokelund fra Rigsrevisionen samt Jens Otto Damsgaard, Jens Olsson og Allan Wøhlk Høgh fra PwC.

1. Godkendelse af dagsorden

Dagsordenen blev godkendt.

2. Godkendelse af referat af møde 1/2016, 16. marts 2016

Bilag 06

Et bestyrelsesmedlem havde to bemærkninger til referatet. Den ene vedrørte et ønske om en uddybelse af drøftelsen af student hub'en i forhold til, hvornår den er succesfuldt

implementeret. Den anden var, at det bør fremgå af referatet, at det blev bemærket, at hvad angår kommunikation af nedskæringerne, så skal det indskræpes, at der er tale om nedskæringer, som universitetet er blevet pålagt.

Bestyrelsesformanden sagde, at overordnet er det tidligere i bestyrelsen besluttet, at referaterne skal bestå af kortfattede opsummeringer af essensen af drøftelserne med fokus på beslutninger, og at enkelte medlemmer ikke skal citeres. Referatet blev godkendt.

Referat af bestyrelsesmøde 1/2016 blev godkendt

3. Godkendelse af RUCs årsrapport 2015 og revision 2015, herunder afrapportering af udviklingskontrakt 2013-2015

Bilag 07

Bestyrelsesformanden sagde indledningsvis, at han var tilfreds med årsresultatet og de relaterede faglige og indholdsmæssige initiativer. Han udtrykte tilfredshed med, at revisionen har givet RUC en blank påtegning og anerkendt tidligere RUC bestyrelser for at have handlet med rettidig omhu.

Herefter gav han ordet til universitetsdirektøren, der redegjorde overordnet for PwC's protokollat og brevet fra Rigsrevisionen samt for årsresultatet i årsrapporten.

Universitetsdirektøren introducerede materialet til behandlingen af punktet, som udover et cover bestod af:

- 1.Revisionsprotokollat fra PwC
- 2.Brev fra Rigsrevisionen vedr. revision af RUC
- 3.Årsrapport 2015

Han sagde, at han ville gennemgå revisionsprotokollatet og brevet fra Rigsrevisionen samlet og fremhæve overordnede opmærksomhedspunkter.

Revisionsprotokollat fra PwC samt brev fra Rigsrevisionen

Universitetsdirektøren sagde at det var glædeligt, at institutionsrevisor (PwC) gav RUC en blank påtegning. Både PwC og Rigsrevisionen har noteret sig universitetets økonomiske udfordringer som et opmærksomhedspunkt. Han fremhævede indkøbsprocedurer og eksternt finansierede projekter som opmærksomhedspunkter og sagde, at der på RUC laves særlig controlling af projektporteføljen for at sikre, at RUC's interne retningslinjer overholdes. Endelig er IT sikkerhed et opmærksomhedspunkt.

Stillingen som IT sikkerhedskoordinator er i øjeblikket vakant, hvorfor PwC assisterer RUC, indtil stillingen besættes.

Årsrapporten

Universitetsdirektøren henviste til resultatopgørelsen i årsrapporten på side 4. Han sagde, at årsresultatet er et mindre underskud end forventet. Årsresultatet for 2015 er et underskud på 15,8 mio. kr. mod det budgetterede resultat på 26 mio. kr. Sammenligner man med årsresultatet for 2014, ser man, at med et ensartet indtægtsniveau er omkostningssiden blevet reduceret, således at underskuddet er reduceret til halvdelen.

Universitetsdirektøren nævnte blandt andet, at den økonomiske tilpasning i 2015 også omfattede nedlæggelse af 44 stillinger, og at universitetet i forbindelse med prognose 2 indførte et kvalificeret ansættelsesstop og udgiftsopbremsning. Herved opnåede man et forbedret økonomisk resultat for 2015, der betyder, at universitetet får forbedrede muligheder for at gennemføre de nødvendige besparelsesinitiativer i den økonomiske genopretningsplan, der skal bringe universitetets økonomi i balance inden udgangen af 2019.

Universitetsdirektøren havde uddybende bemærkninger til tallene vedr. personaleomkostninger på side 52. Derudover henviste han til side 56, hvor afvigelsen mellem årsresultatet og henholdsvis det budgetterede resultat og det forventede resultat ved prognose 2 i efteråret er opgjort. Afvigelserne skyldes hovedsageligt øgede indtægter samt det kvalificerede ansættelsesstop og den udgiftsopbremsning, der blev iværksat i tilknytning til prognose 2. Som led i genopretningsplanen er det aftalt med bestyrelsen, at der kan budgetteres med driftsunderskud i perioden 2016-2017, og at dette ekstra træk på egenkapitalen skal indhentes i 2018-2019, så at universitetet igen lever op til målsætningen om en drift i balance og en egenkapital på 5 % af omsætningen med indgangen til 2020.

Endelig nævnte universitetsdirektøren risiciene vedr. RUC's økonomi eksempelvis, at universitetet ikke får gennemført besparelserne, hvilket han vurderede som en lille risiko. Det faldende studenteroptag, regeringens ønske om at omlægge finansiering af uddannelser og usikkerheden omkring globaliseringsmidlerne er faktorer der bidrager til, at universitetets økonomi er under pres. Rektor nævnte den lange proces på 3-5 år for lukning af fag som yderligere en risikofaktor.

Herefter kommenterede rektor målrapporteringen for den nye udviklingskontrakt. Udviklingskontraktens mål er forankret i RUC's strategi, og udviklingskontrakten for 2015-2017 indeholder syv mål med tilknyttede målepunkter, der afspejler indsatsområderne under hvert mål. Der er 16 målepunkter, hvoraf 12 er nået, 3 delvist nået og 1 er ikke nået. Rektor kommenterede de mål, der er delvist nået og det, der ikke er nået. Et af målene der kun er delvist nået er mål 2c vedr. kurser i entreprenørskab for hhv. studerende og ansatte (side 45 i årsrapporten). Målet vedr. de studerende er

opfyldt, men målet vedr. ansatte er ikke opfyldt. Resultatet er 0. Siden opgørelsen har 8 ansatte været på kursus, og målet er 20. Rektor bemærkede, at den nuværende situation på RUC formentlig er årsag til den manglende målopfyldelse. Målepunkt 4a vedr. fastholdelse af RUC-studerende på studie- og praktikophold i udlandet gennem udvekslingsprogrammer er ikke nået, hvilket skyldes at de studerende er bekymrede for konsekvensen af et udlandsophold for deres samlede studieforløb. Hvad angår målepunkt 6a om forskningsproduktion, sagde rektor, at målet er delvist opfyldt, og at RUC nu har fået en publiceringsstrategi, og dermed et vigtigt redskab til publicering, så det ser positivt ud fremadrettet.

Herefter bemærkede Jens Otto Damsgaard, PwC, at RUC's årsregnskab og RUC's procedurer på det økonomiske område bliver bedre og bedre. Han udtrykte tilfredshed med den gode proces og samarbejdet med både RUC og Rigsrevisionen.

Jens Olsson skitserede processen for, hvordan årsrevisionen og samarbejdet med RUC foregår og store poster og øvrige områder, der bliver gennemgået. Han nævnte også, at PwC havde anbefalet, at RUC fik udarbejdet en stresstest på universitetets økonomiske forhold med henblik på iværksættelse af tiltag til forbedring på grund af ændringer i indtægtsgrundlaget fremadrettet. Stresstesten er udarbejdet og sammen med Struensee-rapporten blev der identificeret spor til besparelser. Han udtrykte opbakning til genopretningsplanen og tillid til, at universitetet vedvarende løser de udefrakommende opgaver og krav.

Vagn Bokelund fra Rigsrevisionen (RR) tilføjede, at RR er enig i PwC's observationer og vurderinger, herunder at resultatet er bedre end forventet, og at det går fremad i forhold til prognoserne. Han udtrykte tilfredshed med samarbejdet mellem PwC og RUC.

Bestyrelsesformanden takkede PwC og RR. Han spurgte dem om universitetet har en tilstrækkelig buffer i forhold til risikovurderingen. Jens Olsson svarede, at niveauet for egenkapitalen på 5 % kan diskuteres, men at PwC anbefaler, at det ikke er mindre. Jens Otto Damsgaard tilføjede, at robust økonomistyring og en passende egenkapital er nøgleordene for at kunne modstå de formodede ændringer i universitetets rammebetingelser.

Bestyrelsen udtrykte tilfredshed med det pæne resultat. Der var blandt andet følgende spørgsmål og bemærkninger fra bestyrelsen:

- Der blev spurgt til overblikket over serviceaftaler for håndværkerydelser.
 - Mindreforbruget af strategimidler blev noteret med bekymring.
 - Der blev spurgt til hvorvidt budgettet omfattede nødvendige investeringer såsom ombygning af lokaler.
 - Det blev foreslået, at der investeres i tiltag til sikring af kandidaternes beskæftigelse.
-

- Mindre studenterudveksling er bekymrende og bør fremhæves som opmærksomhedspunkt.
- Hvad er næste skridt i forhold til it-sikkerhed?
- Hvorfor er de finansielle omkostninger steget?

Universitetsdirektøren svarede, at hvad angår håndværkerydelser, så er der nu igangsæt et udbud af disse ydelser, hvilket har været en væsentlig prioritet for den nye ledelse, som overtog området i slutningen af 2015. Han sagde, at der i budget 2016 ikke er afsat specifikke midler til investeringer, fx til ombygning af lokaler, som det tilstræbes at håndtere inden for budgettet. Ift. spørgsmål om It-sikkerheden, så er der nu indsat en interimkonsulent, som vil varetage opgaver, mens stillingen som it-sikkerhedskoordinator forsøges besat med hjælp fra et rekrutteringsbureau.

Stigningen i de finansielle omkostninger skyldes hovedsageligt realiserede kurstab i tilknytning til universitetets to kapitalforvaltningsaftaler, der dog set over hele året 2015 er blevet opvejet af de realiserede afkast og renteindtægter, som obligationsporteføljerne også har givet. Budgetchefen gav en række uddybende bemærkninger om udviklingen i 2015 og forventninger til markederne i 2016, som ikke giver anledning til forventninger om større indtægter i de næste par år. Universitetsdirektøren foreslog, at forslag til fortsættelse af disse investeringer kunne drøftes på et kommende bestyrelsesmøde.

Bestyrelsesformanden påpegede, at der ikke fremgik en konklusion vedr. protokollatets benchmarkanalyse af lønomkostninger og årsværkspris. Jens Olsson svarede, at PwC havde vurderet, at der ikke var grund til yderligere analyse heraf.

Bestyrelsesformanden takkede PwC for deres bistand og rosende ord.

Bestyrelsesformanden konkluderede, at Årsrapport 2015 blev godkendt. Bestyrelsen underskrev årsrapport og revisionsprotokollat.

4. Orientering fra bestyrelsesformanden

Bilag 08

Bestyrelsesformanden orienterede om et brev til bestyrelsesformænd og rektorer fra Uddannelses- og forskningsminister Ulla Tørnæs om styringseftersyn af de videregående uddannelser.

Universitetsdirektøren tilføjede, at et væsentligt element i eftersynet vil være en ekstern kortlægning af erfaringer og perspektiver på styringen af videregående

uddannelsesinstitutioner med bidrag fra repræsentanter for institutionerne. Så baggrunden for initiativet er måske, at man har lyttet til kritikken fra institutionerne af de mange sammenfaldende styringsmekanismer, og at styringskonceptet har været debatteret længe. Governance strukturen, dvs. relationen mellem bestyrelse og ministerium vil muligvis på sigt også blive revideret.

Universitetsdirektøren nævnte, at Uddannelses- og forskningsminister Ulla Tørnæs besøger RUC 18. april. Besøget er siden blevet rykket til 12. maj.

5. Orientering fra rektoratet

Bilag 09

Rektor orienterede om helt nye data for ansøgertal til RUC's bachelor- og kandidatuddannelser. Hun sagde, at der medio marts og primo april har været deadline for ansøgninger. Universitetet har oplevet stor interesse for og større søgning til både bachelor- og kandidatuddannelserne. Det danske kandidatoptag har modtaget 3787 ansøgninger mod 2601 sidste år – en stigning på 46 %. Ansøgningerne fordeler sig på 2161 ansøgere mod 1682 sidste år – en stigning på 28 %.

Dette gælder også interessen hos internationale studerende, hvor antallet af både ansøgninger og antal studerende i år er steget mærkbart i sammenligning med sidste år. Vi har modtaget 1075 ansøgninger mod 662 sidste år – en stigning på 62 %. Det svarer til 586 ansøgere mod 383 ansøgere sidste år – en stigning på 35 %.

Vi kan også konstatere en stigning i kvote 2 ansøgningerne til bacheloruddannelserne på 11 % i antallet af ansøgninger og 7 % i antallet af 1. prioritetsansøgninger. Antallet af personer, der har søgt RUC i kvote 2, er steget med 11 % fra 1662 ansøgere til 1838 ansøgere.

Samtlige hovedområder har oplevet en stigning i antallet af ansøgninger. Også antallet af 1. prioritetsansøgninger er steget til samtlige hovedområder undtagen natbach, hvor tallet er status quo. Til gengæld har natbach den største procentuelle stigning i antallet af ansøgninger i alt, nemlig 18 %. Igen i år har humbach fået flest 1. prioritetsansøgninger: 496 mod 438 i 2015.

Det er en positiv udvikling og kunne tyde på, at de mange rekrutteringsaktiviteter, både fælles og institutspecifikke arrangementer, ser ud til at have båret frugt.

Universitetsdirektøren orienterede kort om processen for ny budgetmodel, herunder for den brede inddragelse. Efter planen skal den nye budgetmodel vedtages inden sommerferien. Et bestyrelsesmedlem mindede om inddragelsen af Akademisk Råd, og

universitetsdirektøren sagde, at primært Økonomisk Udvalg under Akademisk Råd, institutlederne med ansvar for den daglige ledelse og bestyrelsen vil blive forelagt væsentlige milepæle i arbejdet.

Prorektor orienterede kort om gennemførelsen af en evaluering af de fire forskningssatsningsområder. En evalueringsrapport vil blive fremlagt for bestyrelsen inden sommerferien med henblik på en drøftelse af resultaterne af investeringen i satsningsområderne.

Der blev spurgt til processen for lukning og/eller sammenlægning af fag og uddannelser. Rektor svarede, at Akademisk Råd havde bedt rektoratet om at komme med et forslag. Hun sagde, at arbejdet med tilrettelæggelse af en proces er i gang, og at proces og kriterier vil blive vendt i universitetsledelsen med henblik på fremlæggelse af et forslag, der sendes i høring på institutterne. Herefter træffer rektoratet, i samarbejde med universitetsledelsen, en beslutning inden sommerferien.

6. Eventuelt

Det blev nævnt, at der er reserveret tid i kalenderne til et bestyrelsesseminar 9. – 10. juni. Det afklares i nær fremtid, om det ændres til et heldagsseminar eller om et arrangement med overnatning fastholdes.

Mødet sluttede kl. 14.15.

Erik Jacobsen, formand

Pkt. 3 Orientering om status for tilpasning af RUC's økonomi

Sagsfremstilling

På møde 16. marts 2016 tiltrådte bestyrelsen universitetsledelsens indstilling bestående af forslag til besparelser på 110 mio. kr. frem mod 2019 – på 11 indsatsområder. De 11 indsatsområder er blevet konkretiseret, og der arbejdes på højtryk i de enkelte arbejdsgrupper og projekter.

Vedlagt er et statusnotat for arbejdet med angivelse af opmærksomhedspunkter. Arbejdet vedrører:

1. Bygningsmassen
2. Undervisningstilrettelæggelse
3. Studieadministration og studiestruktur
4. Økonomistyring
5. Indkøb
6. Øvrig administration
7. Fag, uddannelser og normer
8. Bemanding og organisatorisk indplacering af enheden for akademisk efteruddannelse (EAE)
9. Universitetsbiblioteket
10. Indtægter
11. Ph.d.-området

Indstilling

Det indstilles, at bestyrelsen tager status for den økonomiske tilpasning til efterretning.

Bilag

- Notat: *Status for tilpasning af RUC's økonomi*
- Notat: UL indstillingerne godkendt af bestyrelsen på møde 16. marts.

Status for tilpasning af RUC's økonomi

Nedenfor følger en status for hvert af de overordnede indsatsområder.

1. Bygningsmassen: 28 mio. kr.

Oplæg omkring institutlandkortet/det nye campuslandkort er under udarbejdelse og er i den afsluttende fase og vil som det næste blive drøftet i den nedsatte arbejdsgruppe. Fire-partsforhandlingerne vedr. bygning 30 fortsætter planmæssigt.

Det er ambitionen, at der opsiges en række bygninger inden 1. juli 2016, således at der opnås fuld besparelse i 2017 (med et halvt års opsigelse). Der kan allerede nu peges på, at pavillonerne P8-10-11 forventes opsagt til udløb december 2016.

Opmærksomheden skal henledes på processen omkring bygning 03 og 30, som er væsentlige hjørnestene i indsatserne på bygningsområdet og dermed en risikofaktor. Derudover risici forbundet med at få det nødvendige provenu ved opsigelser samt sikring af en fremadrettet god campus med udviklingsmuligheder. Besparelserne er nettobesparelser, så der vil skulle findes finansiering til eventuelle istandsættelser indenfor budgettet eller fx ved at lade opsigelser ske tidligere.

2. Undervisningstilrettelæggelse: 3,8 mio. kr.

Rektoratet har truffet beslutning om omfanget af ekstern censur med ikrafttrædelse 1.9.2017. I perioden frem til ikrafttrædelse skal der ske et udviklingsarbejde af alternativer til den eksterne censur.

Universitetsledelsen (herefter UL) har truffet beslutning om faste timeslots – efteråret 2016 planlægges efter disse.

UL har truffet beslutning om gradvis forøgelse ved anvendelsen af D-VIP ved ledige stillinger. Indstillingen implementeres løbende i tilknytning til ansættelsesstoppet ved UL's konkrete stillingstagen ved ledige VIP stillinger. Ligeledes ønskes gradvis forøgelse af anvendelse af studieadjunkter/-lektorer ved ledige stillinger. HR har i 2015 haft et indledende møde med UDS om fortolkning af stillingscirkulæret og har i samarbejde med studieleder på IKH udarbejdet et notat til UDS, som uddyber baggrund og behov for anvendelse af studieadjunkter og studielektorer. Vi venter at høre videre fra UDS.

Arbejdet med nyt bookingsystem sker i dialog med DTU og Macom, der bistår RUC med optimeret planlægning frem til det endelige system er færdigt.

Udfasning af kompendier har været behandlet på to arbejdsgruppemøder, og det foreslås, at udfasningen sker med virkning fra forårssemestret 2017.

IT-understøttet undervisning: der har endnu ikke været centrale aktiviteter i forhold til dette punkt.

3. Centralisering af studieadministration og forenkling af studiestruktur: 9,7 mio. kr.

Der har været afholdt to heldagsseminarer, hvor først Student Hub siden den øvrige organisering af studieadministrationen har været behandlet på baggrund af eksisterende materiale fra institutterne og UI om opgaver, processer med mere.

UL har ad to omgange behandlet en status på det fremtidige opgavesnit. Der afholdes i nær fremtid to workshops om understøttelse af studieledere, studienævn og undervisere. Deltagere i disse workshops er viceinstitutedere, studieledere, administrativ ledelse, medarbejdere fra institutter og UI med flere.

Den 8. juni afholdes et studieadministrativt seminar for alle studieadministrative medarbejdere om rammen for student hub, det nye UI og samarbejdet på tværs af det nye UI og institutterne/fagmiljøerne. Der har været afholdt to møder med FIT's arkitekter om de fysiske rammer for Hub'en/UI i 01 – der er ikke konkluderet noget endeligt.

Et opmærksomhedspunkt er perioden fra 1.10 til den endelige etablering af Student Hub(det nye UI: medarbejderne i det nye UI er ikke fysisk samlede før engang i det nye år – det vil være en udfordring i forhold til at opbygge nye samarbejdsformer, nye arbejdsgange, møde de studerende og betjene institutterne – og ledelsesmæssigt vanskeligt at lede medarbejdere, der ikke er fysisk samlede.

4. Økonomistyring:

På økonomistyringsområdet er det særligt arbejdet med en justering af RUC's budgetmodel, som er i fokus. Der har været gennemført en bred interviewrunde og herunder inddragelse af bl.a. økonomisk udvalg under Akademisk Råd.

Arbejdet med budgetmodellen fokuserer primo juni på at omsætte målet med arbejdet, sammenholdt med input fra interviews og drøftelser til modeltilpasninger og tilhørende regneeksempler.

Det er pt. forventningen, at de justeringer der gennemføres i budgetmodellen til budgettet for 2017 følges op med yderligere justeringer til budgettet for 2018, når bl.a. nyt taxametersystem kendes.

5. Indkøb: 10,5 mio. kr.

Arbejdet med en overordnet beskrivelse af kompetencer og indhold i indkøbsfunktionen er under opstart. De medarbejdere, der foretager operationelle indkøb i dag, vil blive involveret i processen, når der er udarbejdet et oplæg til områdets indhold og organisering.

Sårbarhed i indkøbsfunktionen samt indsats omkring målrettet kontraktstyring er i fokus, og stillingsopslag er ved at blive færdiggjort. Den fremtidige strukturering af indkøbsfunktionen vil formentlig tage afsæt i 7 bærende principper, som moderniseringsstyrelsen har udarbejdet. Herunder vil fokus særligt være på rammeaftaler, klare beskrivelser af kompetencer for operationelle indkøb og compliance.

Opmærksomhedspunktet her er, om det bliver muligt at spare 12 mio.kr. på indkøb og forhåbentlig minimum bevare købekraften. Videre er indkøb et område, som er i fokus bredt i den offentlige sektor, og dermed er der en risiko omkring rekruttering.

6. Øvrig administration: 13 mio. kr.

Arbejdet med partnermodeller og organisering af administration vedr. HR, It, økonomi, forskningsstøtte, kommunikation, løn og regnskab er organiseret i arbejdsgrupper. Medarbejderinddragelse sker bl.a. via fokusgruppeinterview og netværksmøder. Alle arbejdsgrupper har som led i arbejdet nu kortlagt arbejdsopgaver på institutter og i fællesadministrationen og drøftet mulige modeller for organisering, kompetencebehov, specialisering og besparelsesmuligheder. Arbejdsgrupperne rapporterer til UL.

Status for arbejdet med partnermodeller er som følger:

It-området: En model i UL er drøftet med henblik på centralisering af it-opgaverne. Der udestår en beslutning vedr. forsknings-it.

HR: Der foreligger et udkast til partnermodel for HR med centralisering. Modellen drøftes i arbejdsgruppen og udfoldes i fokusgruppeinterviews med henblik på snarlig forelæggelse i UL.

Økonomiområdet: der er udarbejdet et første oplæg til en partnermodel. Denne drøftes med sekretariatsledere og kontorchefer inden forelæggelse i UL medio juni.

Forskningsstøtte og ph.d. administration: arbejdsgruppen har drøftet forskellige modeller for organisering (fuld centralisering og decentral model). Arbejdsgruppen sigter mod at fremlægge en model for UL medio juni.

Kommunikationsområdet: arbejdsgruppen har drøftet forskellige modeller for organisering (fuld centralisering og decentral model). Arbejdsgruppen sigter mod at fremlægge en model for UL medio juni.

Løn/regnskab: en indledende analyse er udarbejdet i samarbejde med lønteam og regnskab. Erfaringer indsamles fra ITU og AU.

Campus: det er aftalt at samle enheden pr. 1. oktober. Der arbejdes med en model hvor hver medarbejder får ansvaret for dels et fysisk område og dels en faglig profil.

Oprettelse af institutsekretariat/ledelsessekretariat: denne opgave skal ses i samspil med arbejdet med partnermodeller og Student Hub. Arbejdet er forankret i UL.

Et opmærksomhedspunkt for arbejdet er, at institutterne er organiseret forskelligt og har varierende ressourcer i forhold til løsning af de administrative opgaver – eksempelvis ift. kommunikation og forskningsstøtte. Også fællesadministrationen har forskellige måder at organisere samarbejdet med institutterne, ligesom en række af opgaverne også har snitflader på tværs i fællesadministrationen. Det giver divergerende perspektiver og ønsker for en fremtidig organisering, der også skal omfatte en besparelse på 13. mio. kr.

7. Fag, uddannelser og normer: 15 mio. kr.

Fag og uddannelse: Bestyrelsen har besluttet, at RUCs uddannelses- og fagvifte skal reduceres i forbindelse med tilpasning af RUC's økonomi og efter indstilling fra UL. Akademisk Råd har understreget, at der skal nedlægges og/eller sammenlægges fag for, at universitetet ikke ender

med at svække kvaliteten i sin samlede uddannelsesportefølje som følge af besparelserne, samt at indstillingen til bestyrelsen om nedlæggelser og sammenlægninger skal udarbejdes af rektor og ikke af de faglige miljøer. Rektor har udarbejdet et forslag, der i øjeblikket er i høring. Normer: der har været afholdt to møder i arbejdsgruppen og arbejdet er stadig i proces.

8. EAE: 1 mio. kr.

EAE (Enheden for Akademisk Efteruddannelse) har udarbejdet et oplæg vedr. strukturering af EAE i forhold til organisatorisk placering og ledelse samt beskrivelse af opgaver. Oplægget drøftes i rektoratet og i UL.

9. Universitetsbiblioteket: 3,5 mio. kr.

Besparelsscenarie som beskrevet for 3,5 mio. kr. i bibliotekets nuværende organisering er besluttet i bestyrelsen. Imødekomme af besparelseskraene er skitseret i scenariebeskrivelse. Første del af besparelserne sker ved ikke at genbesætte 2 ledige fuldtidsstillinger (ledige siden 1.1.2016). Yderligere en fratrædelse pr. 1.10.2016 vil medføre en ledig stilling, som ikke genbesættes i 2017. Der forventes endnu en fratrædelse ultimo 2016/primo 2017. Der arbejdes endvidere fortsat med omlægning til e-ressourcer, hvor dette er muligt, ligesom bibliotekets materialeindkøb i samarbejde med institutterne vil blive gennemgået med henblik på evt. at erstatte indkøb af databaser og tidsskrifter med artikelkøb eller fjernlån, såfremt dette er billigere pr. enkeltbrug.

Analysearbejde er efterfølgende efter anmodning fra bestyrelsesformanden påbegyndt medio april med henblik på mulig indgåelse af samarbejdsaftale mellem Det Kgl. Bibliotek og RUC om biblioteksdrift pr. 1.1.2017 med besparelseskra på 3,5 mio. kr. Muligt beslutningsgrundlag skal foreligge senest 1.10 2016. Møder mellem Det Kgl. Bibliotek og RUC afholdes pt. med henblik på udredning af evt. problematikker vedr. HR, IT og biblioteksprocesser.

10. Indtægter: 5 mio. kr.

Arbejdet omkring indtægter tager afsæt i RUC's aktiviteter på masteruddannelsesområdet. Den nedsatte gruppe der skal drøfte konkrete initiativer mødes den 7. juni.

Et opmærksomhedspunkt på dette området er, at der i givet fald er tale om nettoindtægter, og hvis disse afgrænses til masteruddannelser, vil det forholdsvis enkelt kunne identificeres, om målet indfries, og omvendt bliver det overordentligt vanskeligt at identificere, hvis det omfatter universitetets samlede indtægter (årsags-virkningssammenhænge bliver vanskelige at påvise). Der vil i sagens natur skulle tages højde for omkostninger forbundet med indtægtsgenerende aktiviteter.

11. Ph.d. området: 5 mio. kr.

I forbindelse med prognose 1 2016 vil besparelsen blive udmøntet på de fire institutter fra 2017 og frem. De reducerede midler på ph.d. området vil blive fordelt efter den nyligt besluttede model for fordeling af RUC's ph.d. midler.

Et opmærksomhedspunkt er her, at dette forudsætter, at afløbet af de nuværende indgåede ph.d. forpligtigelser er lavere end det budgetbeløb, der kan disponeres i 2017.

Pkt. 1 Bygningsmassen

1. Indstilling til bestyrelsen

Det indstilles,

-at der på bygningsmassen er et sparemål på 28 mio.kr.

-at netto 50% skal findes i 2017, 70% i 2018, og 100% i 2019.

- at rektoratet får mandat til at opsiges bygninger, så den ønskede besparelse sikres.

- at rektoratet får til opgave at sikre, at der vælges bygninger så campus fremstår så samlet som muligt.

Sparemål: 28 mio. dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

UL's forslag:

- a. Bygning 30 søges overdraget til anden lejer og FA (minus UI) plus dele af IMT rykkes til bygning 3.
- b. Bygning 03 istandsættes (funktionelt forældet).
- c. UI rykkes til Bygning 01 hvor der etableres studenterhub.
- d. Antallet af BACH-huse halveres, og NatBach flytter til bygning 27.
- e. Bygning 10 opgives.

Derudover forslag om følgende tilføjelser/ændringer:

- f. BACH-uddannelserne gennemføres som foreslået af BACH-studielederne indenfor de reducerede fysiske rammer, og der vil skulle ske investeringer i undervisningskapacitet.
- g. Undervisningslokaler og grupperum bliver fælles ressourcer.

Såfremt løsningen omkring bygning 30 ikke kan realiseres (i forhold til opsigelse af lejemål for bygning 30, skal der findes en tilsvarende besparelse på anden vis).

Det er ønsket at spare på bygningsområdet og samtidig helst gøre det på en måde så RUC placerer sig så samlet som muligt på campus, og så mulighederne for at udvikle campus med liv og aktiviteter får de bedst mulige betingelser.

I forlængelse af UL's indstilling halveres antallet af bach.huse fra de nuværende 29 lokationer til ca. 15, og eventuelt lavere i lyset af at NatBach flyttes til bygning 27. I forhold til UL-papiret foreslås nu at uddannelsen tilrettelægges lidt anderledes i forhold til de semestre der ligger på bach. Dette berører ikke ambitionen om at reducere antallet af bach-huse, men er alene en justering af den måde bach.uddannelserne pt. køres på. Dette giver udover de lokalemæssige fordele også fordele i form af reduktion af dublerede kurser etc.

Det er videre således at der etableres lounge-område på hvert institut à la bygn. 21, hvor VIP og studerende kan mødes.

I forhold til UL-papiret foreslås det at etablere 1-2 cafe områder på RUC til supplement til kantinen og studenterhuset – for på den måde også at understøtte liv på campus. Det er vurderingen at det ikke umiddelbart vil være rentabelt for drive cafe'er i alle lounges plus kantine/studenterhus.

Ambitionen fra ledelsen er at bygningsbesparelser hentes hurtigt, dvs. at en afklaring af bygninger ifht opsigelser gerne skal ligge i 1. halvår 2016 for at have fuld økonomisk effekt i 2017. Der må her

forventes større investeringer i eksempelvis undervisningsfaciliteter, flytninger og moderniseringer for at få etableret lounge-faciliteter m.m.

Af output kan nævnes en lokaleplan baseret på den reducerede bygningsmasse, placering af institutter og tilhørende BACH huse, lounge områder og eventuelt også cafe områder, så det bliver tydeligt hvor på campus hvilke aktiviteter kan foregå, også gerne så disse understøtter institutaktiviteter men også det generelle sammenhængende liv på campus, som kommer alle til gavn.

Derudover kan nævnes, at der i den forbindelse skal laves beregninger så institutterne får ensartede arealer baseret på deres antal ansatte og studerende, og der dermed kan tegnes et nyt institutlandkort – det skal sikre at alle får lige gode rammer, og dermed en central forudsætning for at få indarbejdet bygninger i budgetmodellen, som har været et ønske i lang tid (økonomivinklen skal understøtte en fremadrettet god incitamentsstruktur omkring vores lokaler).

Undervisningslokaler og grupperum vil blive defineret som fælles ressourcer, hvilket også er nødvendigt af hensyn til en centraliseret uddannelsesplanlægning understøttet af en eller anden form for it-løsning.

Yderligere skal der laves en implementeringsplan hvor lokaleplanen oversættes til investeringer og flytninger.

Der er en kobling til budgetmodel ved at bygningsmassen som nævnt forventes at indgår i budgetterne, men efter at der er skabt ensartede vilkår/rammer.

Organisering: FIT/Teknik- og indkøb og BYGST. Arbejdet forankres i FIT-Teknik/indkøb som projektledere. Koordination og dialog med alle sekretariatsledere og kontorchefer.

3. Status

Kontakt til bygningsstyrelsen i forhold til bygning 30 og bygning 3. Der er lavet en hurtig ønskeliste til bygning 3.

Det er målet at et overslag på økonomi vedr. bygning 3 ligger færdig ultimo februar/primus marts. Dog kun som rent overslag.

Den indledende dialog der var omkring lokaler mellem FIT og sekretariatslederne vil skulle genoptages i forhold til at beskrive den simple model for m2 fordeling og nogle overordnede betragtninger af hvad det nye bygningslandkort vil betyde i forhold til enkelt/flerrumskontorer/storrumskontorer/open space.

Der er videre etableret en dialog med BYGST vedrørende hvilke bygninger det giver mening for begge parter at opgive ifht. genudlejning, funktionel forældelse etc. Der holdes i den forbindelse møder på direktionsniveau mellem RUC og BYGST, udover de løbende projektmøder i regi af FIT.

4. Tidsplan/etaper

Tidsplan ikke fastlagt pga. udeståender omkring bygning 30.

Frem til bestyrelsesmødet den 16. marts må det prioriteres at få afklaring på bygning 3 og 30, samt ideelt set et bud på et institutlandkort i færre bygninger, inkl. indikatorer for m2 pr. medarbejder/studerende samt antal undervisningslokaler/grupperum.

Der skal ske en afklaring af hvilke konkrete bygninger der skal opsiges og hvornår. Opsigelser skal ske inden 1. juli 2016 for at have fuld effekt i 2017. Der vil videre skulle laves en procesplan (logistik) for håndteringen af flytninger – dvs. evt. genhusning etc.

Det er for tidligt at komme med et bud på indfasning af sparemålet og investeringsomfang pga. de usikkerheder der pt. findes. En profil for indfasning kunne være 50% i 2017, 70% i 2018 og 100% i 2019. Dog således, at bygninger faktisk opsiges hurtigst muligt, men at den sparede husleje/drift bruges til medfinansiering af de større investeringer, der må forudses at komme.

5. Risikovurdering

P.t. er største risiko i forhold til bygning 3 og 30. Videre risiko i forhold til at estimere følgeomkostninger til modernisering, renovering, flytninger og fx økonomi forbundet med datacenter i bygning 30.

Vi er afhængige af, at der er de nødvendige ressourcer og kompetencer til rådighed til at gennemføre ændringerne på bygningsområdet.

6. Kommunikationsbudskaber

Der er her et enkelt budskab om at RUC ønsker at spare på bygninger frem for ansatte.

Pkt. 2 Undervisningstilrettelæggelse

1. Indstilling til bestyrelsen

Det indstilles at,

- der arbejdes med faste tidsslots for al undervisning,
- der udvikles bookingsystem og nye IT-understøttende undervisningsformer,
- brugen af kompendier udfases,
- brugen af ekstern censur reduceres til 1/3
- der sker en gradvis forøgelse af anvendelsen af D-VIP,
- og at der sker en gradvis forøgelse af anvendelsen af studieadjunkter og studielektorer

Sparemål: 3,8 mio. dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

Dette punkt omfatter flere og forskelligartede initiativer, hvoraf nogle er til at igangsætte umiddelbart og andre kræver en længere indkøring.

a. Nye tidsslots

UL har besluttet følgende faste tidsslots for al undervisning på tværs af RUC med en undervisningsfri periode midt på dagen til møder og andre lign aktiviteter:

- 08.15-10.00
- 10.15-12.00
- 13.15-15.00
- 15.15-17.00
- 17.15-19.00
- Master slot?

b. Bookingsystem

Ens tidsslots indgår som ét kriterium i den fremtidige planlægning sammen med frist for indmelding/årshjul for planlægningsprocessen og definition på et fuldtidsstudium, projekt- og progressionsdeklarering.

Macom og DTU er i gang med at analysere RUC-data med henblik på udviklingen af endelig IT-understøttelse af planlægningsarbejdet. Macom arbejder med data i en reduceret bygningsmasse (1/4) med det nuværende antal kombinationsuddannelser, fagintegrerede uddannelser og bacheloruddannelser. Det er meningen at analysen skal danne baggrund for udviklingen af et IT-system, der kan understøtte RUC's arbejde med planlægningen af undervisning og eksamen, der er et uhyre komplekst puslespil.

Projekt etableres, når Macom/DTU vender tilbage med deres analyser i løbet af februar/marts

c. IT-understøttelse

Der skal udvikles nye IT-understøttede undervisningsformer som alternativ/supplement

til den klassiske kursus- og projektundervisning – både ift udvikling ift læring og som bedre udnyttelse af ressourcerne ved ex pod casts, fjernundervisning, MOOCS

Der skal igangsættes et projekt mellem viceinstitutterne og Akademisk IT og EAE – når de første er blevet ansat.

d. Udfasning af brug af kompendier

Brugen af fysiske kompendier skal erstattes med digitale ditto, som kan tilgås via LMS-systemet Moodle.

Dette kan igangsættes umiddelbart i institutterne i samarbejde med biblioteket ift. det ophavsretlige. Der vil blive nedsat en arbejdsgruppe, der bl.a. skal sikre, at problematikken ifm. ophavsrettigheder er belyst .

e. Ekstern censur

RUC skal reducere brugen af ekstern censur til det bekendtgørelsesfastsatte minimum på 1/3 for derved at spare midler på censorløn.

Der er lavet en indstilling til drøftelse i UL 3. marts. tidshorisonten afhænger af, om der vælges scenarie 1 eller 2 i indstillingen om ekstern censur: 1) de samme studieelementer i alle STO underlægges ekstern censur fra sommer 2016 2) STO har forskellige elementer – sommeren 2017

f. Gradvis forøgelse af anvendelsen af D-VIP ved ledige stillinger

Stilling om forøgelse af anvendelse af D-VIP tages der i forbindelse med indførelse af ansættelsesstoppet og den hertil knyttede procedure om behandling i UL, konkret stilling til hver gang der er en ledig VIP stilling til besættelse.

g. Gradvis forøgelse af anvendelse af studieadjunkter og studielektorer ved ledige stillinger

Forøgelsen af anvendelsen af studielektorer og studieadjunkter forudsætter en anden tolkning fra Styrelsens side af stillingsstrukturen. Der pågår dialog med Styrelsen og HR herom.”

3. Tidsplan/etaper

Se ovenfor

4. Risikovurdering

Analysen af RUC-data har vist sig uhyre kompleks og det kan påvirke udviklingshorisonten af IT-understøttelsen af uddannelsesplanlægningen. Der er desuden et opmærksomhedspunkt i forhold til særlige undervisningsformer eksempelvis labs og værksteder.

5. Kommunikationsbudskaber

Alle ovenstående elementer er naturlige udviklingstiltag ift. tilrettelæggelsen af RUC's undervisning og optimering af bygningsmassen.

Pkt. 3 Centralisering af studieadministration og forenkling af studiestruktur

1. Indstilling til bestyrelsen

Det indstilles,

- at størstedelen af de studieadministrative funktioner samles i UI,
- at der etableres én hub og,
- at institutopgaverne inden for uddannelsesområdet klart defineres i overensstemmelsen med behovet for øget kvalitetsarbejde og understøttelse af institutternes og studienævnenes strategiske arbejde med uddannelsesudvikling.

Sparemål: 9,7 mio. dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

Studenthub

-studieadministrationen centraliseres således, at der i fase 1 etableres en studenthub i regi af UI
Studenthub (studieboks) skal være en fysisk/digital one-point-of-entry-service for alle RUC's studerende, hvor de kan få hjælp med vejledning, planlægning, rådgivning og information om igangværende sager som merit-, dispensations- og SU-sager. Der skal være udstrakt tilgængelighed via eksempelvis gode åbningstider, chat i ydertidspunkterne, altid aktuel studieinformation og endnu højere grad af selvbetjening.

Den vidensmængde, som medarbejderne har/skal oparbejde, kommer via sagsbehandling af konkrete individuelle studentsager, som giver stor fortrolighed med studieordninger og regelhierarki.

Understøttelse af studieledelse og studienævn

- studieledere og studienævn skal understøttes bedre administrativt i institutterne

Ifm. institutionsakkrediteringen og RUC's løbende kvalitetsarbejde, er det vigtigt at studienævn og ikke mindst studielederen understøttes professionelt i ledelsesopgaven, så udvikling, kvalitet, fokuserede indsatser og kontinuitet kommer til at kendetegne studieledelse frem for koordinering og administrative opgaver.

Den administrative understøttelse skal derimod være kendetegnet ved koordinering, overblik, sparring, fokus på effektivitet og forbedringer og ikke mindst kvalitetssikring.

Sagsbehandling af konkrete individuelle studentsager på grundlag af procedurer og regler sker på *fælles* niveau.

I lighed med studienævnsunderstøttelse, skal også aftagerpanelerne og eventuelle censorformandskaber betjenes fra institutterne.

Det er vigtigt, at disse medarbejdere indgår i netværk med kollegerne på tværs af institutterne og UI/Komm, eksempelvis ift. akkreditering/kvalitet, fastholdelse, rekruttering.

Uddannelsesadministration vs undervisningsadministration

Studieadministration(uddannelsesadministrationen) er understøttelse af studierne og de studerende (uanset om det er på instituttet eller i fælles enheder).

Undervisningsadministration er:

- *Projekt- og kursusadministration – herunder eksamensadministrationen - samt specialeadministration:*

Omfatter de opgaver, der er i forbindelse med afholdelse af de konkrete undervisningsaktiviteter fra de studerende melder sig til et kursus eller projekt, til aktiviteten er gennemført (bestået resultat i STADS).

- *VIP-understøttelse - undervisningsunderstøttelse*

Indirekte – på fællesniveau:

Det er understøttelse af den enkelte VIP i form af pålidelig information i kursus.ruc.dk som opslagsværk til den konkrete aktivitet - både kurser og projekter (kan oversættes til undervisnings- og eksamensplaner, der udarbejdes på fælles niveau) og lister over studerende.

Direkte - på institutniveau

Understøttelse til øvrige praktiske opgaver, der varetages af instituttet. Koordineres med IT-understøttelsen.

Klare funktionsbeskrivelser

- fokus på klare funktionsbeskrivelser for studieledere og studieadministrative medarbejdere

Klare funktionsbeskrivelser sætter rammen for opgavevaretagelsen og samarbejdsflader og skaber mere ensartethed og transparens for den enkelte og kolleger – både i det daglige, men også ift videre (kompetence)udvikling.

IT-understøttelse

- bedre og øget IT-understøttelse af såvel studieadministration, VIP som studerende

Dette er en vigtig forudsætning for vidensdeling ifm Student hub, sagsbehandling, planlægning, selvbetjening og undervisning. RUC skal have en delstrategi for Studie-IT som en del af den nuværende IT-strategi – og for undervisning (Educational IT).

Der skal etableres et overblik over og udarbejdes

- Hvilke systemer der findes på RUC i dag og bruges de optimalt og bredt nok? Der er behov for stort ledelsesfokus ift at få disse udbredt og brugt korrekt.
- Hvilke eksisterende systemers data kan kobles til nye understøttende værktøjer?
- Standarder for datadisciplin
- Optimering af tid (nedbringelse af dobbeltarbejde) ved at én data registreres/tastes ét sted / én gang, men kan have anvendelse i flere systemer med forskellige formål....
- Hvilken ny systemunderstøttelse er der behov for? Evt. nye systemer skal prioriteres i IT-forum i om den nye delstrategi.

Lokaleplanlægning

- lokaleplanlægning via IT-plattform

Dette er en forudsætning for fuld fælles undervisnings- og eksamensplanlægning på tværs af RUC; og skal sikre optimale skemaer for de studerende og undervisere og ikke mindst optimal udnyttelse af bygningsmassen.

En anden vigtig forudsætning er reduktion i kompleksiteten i vores uddannelser.

Derudover skal der fastsættes fælles kriterier og frister for planlægning, ex faste undervisningsslots.

RUC har indgået et samarbejde med Macom (Lectio) og forskere fra DTU om udviklingen af state-of-the-art-system til understøttelse af universiteternes undervisnings- og eksamensplanlægning.

Studiemiljøkoordinator (i UL's oplæg: studiesekretærrollen)

- *UL finder at der skal være en studiesekretær per fysisk hus (er delvist implementeret)*
- *antallet af basishuse reduceres*
- *studiesekretæren indgår i det enkelte instituts institutsekretariat og indgår i opgavefordelingen der*

Arbejdet med de bachelorstuderende i det fysiske miljø, deres overgang fra elev til studerende, studiemiljø som både har en social og faglig dimension bør professionaliseres. Det kan blive faglighed på linje med andre studieadministrative og studieunderstøttende funktioner.

I lyset af den samlede forandringsproces, som både er organisatorisk og økonomisk og med ydre krav om fremdrift og resultater (flere studerende igennem til tiden, og som kommer i arbejde) sættes fokus på opgaveporteføljen i bachelorhusene i kraft af studiemiljøkoordinatorer.

I lyset af de reduktioner, der skal ske, bør der være én studiemiljøkoordinator per institut.

Opgaver og kompetencer for studiemiljøkoordinatorerne:

De indgår i en sammenhæng med bachelorstudielederne, huskoordinatoren, vip'erne tilknyttet det enkelte hus og studentermentorerne; understøtter fagudvalgene; indgår i netværk med de øvrige studiemiljøkoordinatorer og studievejledere og internationalt team (incomming students).

Studiemiljøkoordinatoren skal især understøtte 'overgangsåret'/1. år, særligt koordinere og udvikle studiemiljøunderstøttende aktiviteter i huset og kompetenceudvikle studentermentorerne.

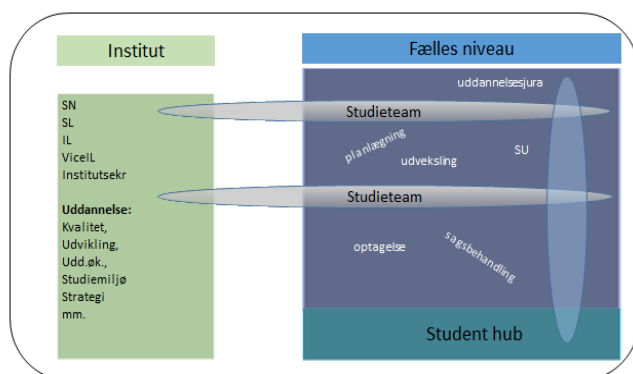
De skal også have fokus på visiteringsrollen ift. Studenthub. Der ligger *ikke* studieadministrative opgaver i stillingen i form af sagsbehandling eller studievejledning

Medarbejderkarakteristik: favnende, koordinerende, dialogsøgende, overblik. Konduite, interesse for at arbejde med ungdomskultur.

Samarbejdsfora i den nye organisation:

- Studieteams: organisering af funktioner, der understøtter hvert enkelt institut: IL, SN, SL og institutsekretariater inden for det studieadministrative område ex undervisnings- og eksamensplanlægning, studie- og karrierevejledning, optag, udveksling mm
- Kvalitetsorganisation: arbejdet med kvalitet, udvikling, akkreditering ud fra fælles kriterier og retningslinjer
 - Studielederfora
 - Studienævnformandskaber
 - Forum for kvalitetsmedarbejdere
 - Årshjulsgruppe
- Redaktionsgruppe
- Rekrutteringsgruppe

Organisationsmodel:



3. Status

Der er arbejdet med udfoldelsen af ovenstående punkter – herunder en medarbejderkarakteristik for funktionen som frontmedarbejder i hub'en, på instituttet og som studiemiljøkoordinator. Derudover er der drøftet relevante samarbejdsfora, der skal sikre den nødvendige dialog mellem fagmiljøerne og administrationen. Der har endnu ikke været en drøftelse af hvorledes det arkitektoniske rum skal understøtte formålet.

4. Tidsplan/etaper

Studieadministrationen samles og funktions- og kompetencebeskrivelser udarbejdes i overensstemmelse med den øvrige organisering pr. 1/10-2016.

Student hub etableres primo 2017. Det vurderes, at organisationsændringen pr. 1/10.2016 i første omgang er en udmelding af, hvor medarbejderne fremover hører hjemme og en fastlæggelse og påbegyndelse af arbejdet i de fremtidige arbejdsfællesskaber. I månederne, der følger, vil medarbejderne skulle løse deres kendte opgaver samtidig med, at vi arbejder os ind i den nye organisering med henblik på endelig fysisk placering i hub/UI (sikker drift i en overgangstid). Hvis Student hub'en er fysisk færdig på et tidligere tidspunkt vil ovenstående kunne ske i om disse rammers færdiggørelse.

5. Risikovurdering

Det er med etableringen af en hub og en samlet studieadministration vigtigt med en forventningsafstemning ift. særligt de studerende og de faglige miljøer. Med en samling vil graden af lokale forhold og ad hoc fleksibilitet i studieadministrationen blive reduceret væsentligt og der vil – for at opnå en effektivisering, men også bedre retssikkerhed for de studerende – blive tilstræbt en standardisering i arbejdsgangene, frister og skabeloner.

Der skal vedtages fælles planlægningsrammer og – kriterier, defineres en klar opgavedeling, udarbejdes fælles årshjul og udarbejdes retningslinjer for administrativt forbrug i relation til uddannelsesøkonomi (hvor dyr må en uddannelse være at administrere?)

Derudover er det vigtigt for en succesfuld start på en student hub, at de fysiske rammer er tænkt godt igennem ift. understøtte funktionerne og de studerendes oplevelse af hub'en som et rart sted at komme og være.

6. Kommunikationsbudskaber

Student hub sætter på én og samme tid den studerende i centrum og skaber effektivisering. Det er vigtigt at kommunikere, at etableringen af et fælles sted for de studerende er i overensstemmelse med RUC's strategi, men samtidig også er et udtryk for, at der skal spares; derfor vil samlingen af de studieadministrative opgaver betyde høj grad af standardisering, hvilket vil opleves som noget nyt, og være noget, som kontinuerligt skal have ledelsesfokus og – opbakning.

En ny organisering vil være en stor kulturændring og opleves som noget helt andet, og det skal forstås og accepteres af alle aktører.

En samling af studieadministrationen vil give fagligt, professionelt fælleskab og ikke mindst kollegialitet og trivsel for den enkelte.

Pkt. 4 Økonomistyring

1. Indstilling til bestyrelsen

Det indstilles,

- at der ikke er et sparekrav på dette område. Dog indgår regnskabsområdet under pkt. 6 om øvrig administration hvor der er besparelser.
- at økonomiopgaverne centraliseres, dog således at budgetansvaret bibeholdes i budgetenhederne og,
- at budgettet for 2017 udarbejdes i en ny budgetmodel.

Sparemål: -

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

UL's forslag

- a) Der etableres budgetansvarlige ledelsessekretariater på institutterne som foreslået af Struensee.
- b) Ansvar for institutternes økonomi ligger fortsat hos institutlederen. Samtidig øges FIT's opgaver i forhold til økonomistyringen, således at rektoratet opnår et bedre grundlag for at styre universitetets samlede økonomi.
- c) En række funktioner flyttes som konsekvens heraf fra institutterne til FIT.
- d) På det centrale budgetområde tilføres der flere ressourcer for at styrke den samlede økonomistyring.
- e) Der etableres flere fælles økonomistyringsværktøjer og nøgletal.
- f) Der udarbejdes en tilpasset budgetmodel med virkning fra 1. januar 2017. Denne skal indeholde budgettering og understøttelse af kerneydelserne, både uddannelse og forskning. På uddannelsessiden skal normer og uddannelseskvalitet spille en mere central rolle for tildelingen af ressourcer. Hertil kommer uddannelsesindtægter, forskningsbaseret, eksterne midler og BFI.
- g) Til dette punkt forventes ingen besparelse.

I en periode hvor universitetet på baggrund af den økonomiske kontekst skal fortage store forandringer er der behov for en tættere økonomisk styring, således at det sikres, at det økonomiske mål med forandringerne indfries. Endvidere er der behov for at ændre budgetmodellen så den understøtter de målsætninger universitetet har for uddannelse og forskning.

For at rektoratet kan opnå et bedre grundlag for at styre universitetets samlede økonomi, der er behov for at øge FIT's opgaver i forhold til økonomistyringen. Ansvar for institutternes økonomi skal dog fortsat ligge hos institutlederen.

Det er institutlederen der disponerer og har budgetansvaret. De ledelsessekretariater der etableres på institutterne bistår institutlederen omkring disponeringer og budget.

Alle øvrige økonomiopgaver centraliseres. Beslutningen om centralisering af forskningssupport og administration udestår på nuværende tidspunkt. De præcise samarbejdsflader skal defineres i lyset af en fælles partnermodel jf. pkt. 6 om øvrig administration, men processerne centraliseres. Udgangspunktet er, at FIT er udførende, og giver rapporter, ledelsesinformation mv. til brug for institutledelsernes økonomistyring – fx 1. bud på prognoser. En række funktioner/opgaver flyttes som konsekvens heraf fra institutterne til FIT.

På det centrale budgetområde tilføres der flere ressourcer for at styrke den samlede økonomistyring.

Der etableres flere fælles økonomistyringsværktøjer, nøgletal mv. til brug for de økonomiadministrative opgaver i FA og på institutterne.

Der udarbejdes en tilpasset budgetmodel med virkning fra 1. januar 2017. Fokus for de ønskede ændringer er en bedre understøttelse af kerneydelserne - uddannelse og forskning - og desuden afspejle trækket på fællesfunktion som f.eks. bygningsområdet. På uddannelsessiden skal normer og uddannelseskvalitet spille en mere central rolle for tildelingen af ressourcer. Hertil kommer uddannelsesindtægter, forskningsbaseret, eksterne midler og BFI.

Den nuværende centrale bemanning styrkes, dog skal centraliseringen af økonomiopgaverne ses i tæt sammenknytning med centraliseringen af de øvrige administrative opgaver.

Organisering: opgaven forankres i UL med bistand fra FIT-budget/regnskab.

Status

Der er udarbejdet et 1. oplæg der beskriver nogle kerneprocesser overordnet og disse skal beskrives nærmere så roller/snitflader er krystallklare i forbindelse med arbejdet med udvikling af partnerskabsmodel jf. pkt. 6 om øvrig administration.

Omkring budgetmodel er status at det pt. forventes, at budgetmodelarbejdet gennemføres internt via en tilpasning af den eksisterende budgetmodel i lyset af ovenstående ønsker til fokus. Modellen skal være klar før sommer, hvis den skal kunne bruges som grundlag for budgettet for 2017. Her er der en afhængighed til processen omkring fag og normer, da resultatet på dette område forventes at ville skulle indgå i budgetmodellen.

3. Tidsplan/etaper

Proces, styring og rapportering må kunne afklares i første halvår, men dette og spørgsmålet omkring bemanning / normering spiller sammen med punktet omkring øvrig administration.

Centrale punkter er ny budgetmodel, samt styrkelse af styring, rapportering.

Fokus på at definere profiler, roller og snitflader i lyset af at økonomiopgaven centraliseres, men at institutterne bevarer budgetansvar. Beskrivelse af hvilke følgende services som følge af snitflader og hvilke fora der skal etableres for struktureret dialog om økonomiopgaverne.

Udvikling af rapportpakke (brugervenlige værktøjer).

4. Risikovurdering

Snitflader m.m. skal være klare for at minimere dobbeltarbejde m.m. Særligt opmærksomhed omkring forskningsadministration/ph.d. administration da der er stort overlap på økonomiopgaven på institutterne og i relationen til FIT/Regnskab (post-award). Videre centralt, at der sker involvering omkring pre-award da der her skabes disponeringer i institutterne som skal håndteres svarende til personaleansættelser (for at FIT kan lave ordentlige prognoser etc.).

Ift. budgetmodellen, er der en risiko forbundet med at arbejdet skal være færdiggjort før sommerferien og håndteringen af interessenter og modsatrettede hensyn.

Det er et opmærksomhedspunkt, at institutlederne fortsat skal kunne varetage økonomiansvaret på institutterne.

5. Kommunikationsbudskaber

I en periode hvor universitetet skal fortage store forandringer er der behov for at øge den økonomiske styring, således at målsætningerne indfries. Endvidere er der behov for at ændre budgetmodellen så den understøtter de målsætninger universitetet har for uddannelse og forskning.

Pkt. 5 Indkøb

1. Indstilling til bestyrelsen

Det indstilles, at

- der på indkøbsområdet er et netto-sparemål på 10,5 mio.kr.
- netto 70% skal findes i 2017, 100% i 2018-2019.
- rektoratet gives mandat til at ansætte 1 medarbejder i 2016, og 2 medarbejdere i 2017.

Sparemål: 10,5 mio. dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

UL's forslag:

- UL vurderer at der kan opnås ca. 12 mio. kr. i besparelser på indkøb, og at det vil forudsætte etablering af en central indkøbsfunktion på yderligere 2-3 medarbejdere.

Der ønskes at spare på indkøb igennem bedre og mere effektive decentrale og centrale indkøb. Den centrale indkøbsfunktion foreslås styrket med 1-3 personer, samtidig med at decentrale operationelle indkøb konsolideres på meget få personer (max 1-2 pr. institut/afdeling).

Spare målet er som nævnt ovenfor netto 10,5 mio.kr. Dette består af en rammereduktion på 12 mio.kr. på budgettet til øvrig drift, og en rammeforøgelse på 1,5 mio.kr. til ansættelsen af 3 personer. Besparelsen fordeles som en simpel rammereduktion på de relevante omkostningsposter, der indgik i potentialeberegningen.

For at besparelsen kan realiseres vil eksisterende rammeaftaler skulle udnyttes på alle mulige indkøbsposter. Der skal sikres eksternt koordinerede aftaler på så stor en del af den resterende indkøbsbase som muligt. Der skal ske en strømlining af indkøbskategorier bl.a. i relation til definition af decentralt og centralt indkøb. Der skal defineres standarder så der sikres en efterspørgselsstyring for at undgå overlap og overindkøb. Indkøb centraliseres på større dele af indkøbsprocesserne og den centrale indkøbsfunktion styrkes som nævnt, bl.a. for at sikre en tidsoptimeret indkøbsproces. Den centrale indkøbsfunktion får derudover til opgave at styrke viden om rammeaftaler hos decentrale disponenter, styring af decentrale indkøb ved bl.a. opfølgning på compliance.

Dette arbejde skal igangsættes ved at få definere indkøbskategorier, tilhørende kan/skal aftaler, centralt og decentralt operationelt indkøb, og reduktion af decentrale indkøbere/disponenter. Endeligt en sikring af opfølgning via rapportering (formentlig en "light" justering af eksisterende indkøbskub i RUCBI).

Det foreslås at der indledningsvis ansættes 1 medarbejder i starten, og efter ca. 1 år så yderligere 2 personer. Der skal i den forbindelse defineres profilerne på de medarbejdere der ønskes rekrutteret, således at indkøbsteamet kan håndtere viften af opgaver.

Organisering: FIT-Teknik/Indkøb. Koordination og dialog med alle sekretariatsledere og kontorchefer, således at der bliver klarhed omkring kan/skal aftaler, reduktion af decentrale disponenter/indkøbere etc.

3. Status

Arbejdet er ikke påbegyndt. Men første step bliver at beskrive de ønskede kompetencer i en styrket indkøbsfunktion samt rekruttering. Dernæst igangsættes arbejdet omkring kategorier, aftaler, disponenter etc.

4. Tidsplan/etaper

Styrkelse af indkøb fase 1 2. halvår 2016, fase 2 +1 år..

Besparelsen kan hentes når det er nødvendigt ift. samlet økonomisk udrulning. Fx 70 % i 2017, og 100 % i 2018-2019. Besparelsen hentes ved rammereduktioner. Investeringen i ansættelsen af yderligere medarbejdere er indregnet i sparemålet, der er opgjort netto.

5. Risikovurdering

Dette område rummer lille risiko, dog den normale risiko ift. rekruttering. Endelig også om det faktisk kan lykkedes at realisere disse besparelser, så RUC ikke mister indkøbsmuligheder (dvs. fastholder købekraften). Der skal være en måling af, om købekraften bevares.

6. Kommunikationsbudskaber

Som med bygninger er budskabet her, at RUC hellere vil købe billigere ind end være færre ansatte.

Pkt. 6 øvrig administration

1. Indstilling

Det indstilles,

-at der etableres partnerskabsmodeller på IT, HR, økonomi og regnskab. Desuden etableres ledelsessekretariater og institutsekretariater.

-på baggrund af yderligere analyser skal UL drøfte om der skal ske en hel eller delvis overførsel af ressourcer og opgaver fra institutterne til fællesadministrationen og deraf følgende partnerskabsmodel vedrørende forskningsstøtte, ph.d. administration og kommunikation

-at partnerskabsmodeller på HR, økonomi og regnskab organisatorisk træder i kraft 1. oktober 16. og de nye institutsekretariater og ledelsessekretariater i forbindelse hermed.

- at partnerskabsmodel på IT organisatorisk træder i kraft 1. april 2016,

- at HR og regnskab arbejder videre med analyse af best practice vurdering af besparelspotentiale ved sammenlægning af løn og regnskab.

- at der oprettes campusservice,

Sparemål: 13 mio. dkk.

2. Beskrivelse og uddybning af opgaven øvrig administration

- a) Der oprettes institutsekretariater og ledelsessekretariater, jf. Struensee
- b) Der arbejdes videre med overførsel af ressourcer og opgaver fra institutterne til fællesadministrationen og deraf følgende partnerskabsmodeller indenfor HR, regnskab, og IT
- c) Løn og regnskab sammenlægges
- d) Fusion af KA og UI
- e) Oprettelse af campusservice

Desuden har UL indstillet, at der skal ske en sammenlægning af løn og regnskab samt en fusion af KA og UI.

Arbejdet med studieadministration og en studenterhub vil også være omfattet af en partnerskabstænkning, idet hvert institut har et studieteam tilknyttet, men dette arbejde kører i et særskilt spor.

3. Status

3.1. Oprettelse af institutsekretariater og ledelsessekretariater

Etableringen af ledelsessekretariater hænger tæt sammen med partnerskab og overførsel af ressourcer og opgaver fra institutterne til fællesadministrationen, fordi der i det arbejde defineres hvilke administrative opgaver, der placeres i FA og hvilke opgaver, der løses i ledelsessekretariater. Derfor vil arbejdet med punkt 6 starte med en beskrivelse af partnerskabstækningen og udarbejdelse af en overordnet partnerskabsmodel for arbejde i administration – i FA, mellem FA og mellem FA og institutterne. Arbejdet med studentHUB hænger sammen med oprettelsen af institutsekretariater, idet snitflader, opgaveløsning og studieteamer er med til at definere opgavesammensætningen.

3.2. Centralisering og partnerskabsmodeller: Grundlæggende principper for opgaver og samarbejde

Beskrivelse af partnerskabsmodeller

Overførsel af ressourcer og opgaver fra institutterne til fællesadministrationen og deraf følgende partnerskabsmodeller indenfor offentlig administration er gennemført for at udvikle et gensidigt og forpligtende samarbejde mellem forskellige enheder i én organisation med forskellige enheder. Formålet er, at administrationen bliver mere specialiseret (kritisk masse), brugerorienteret, standardiseret og digitaliseret. Etableringen er som oftest også sket med et ønske om at bruge færre penge på administration og at undgå suboptimering.

Partnerskabsmodeller indenfor én organisation er typisk ikke juridisk bindende eller omfattet af såkaldte "Service Level Agreements". Partnerskabsmodeller er kendetegnet ved at beskrive administrative kerneopgaver, rammer for samarbejde, afklare roller mellem parterne, gensidige forpligtelser og strukturer for dialog. På den måde er det en ny organiseringsmodel med elementer af både hierarkiske og matrix-organiserende principper. Altså opgaver og arbejdsgange, hvor ansvar er entydigt placeret og matrix-organiserende principper, hvor opgavernes løsning forudsætter, at de varetages ud fra et horisontalt og vertikalt helhedssyn på tværs af organisationen. Det gør ideelt set, at partnerskabsmodeller og partnerskabstanken understøtter en kulturel forandring af organisationen hen imod mere ens og helhedstænkende måder at tænke og arbejde på.

Partnerskabsmodeller er kendetegnet ved, at de administrative opgaver løses et sted. Der findes forskellige partnerskabsmodeller fra fuldt centraliserede modeller, hvor alle medarbejdere inden for et administrativt område refererer til den centrale enhed (FA) på området til modeller, hvor der arbejdes i tætte relationer mellem medarbejdere ansat i institutterne og medarbejdere ansat i FA. Førstnævnte model kan fysisk give sig til udtryk ved, at medarbejdere sidder på centralt og decentralt på fast definerede tidspunkter. Nogle partnerskabsmodeller af førstnævnte type er organiseret ved, at en medarbejder er partner eller et team af flere givne fagpersoner indgår i en partnerskabsstruktur for ét institut og er indgang til løsningen af en række opgaver. Det kunne eksempelvis være en partner på HR-området, på det studieadministrative område eller en partner for IT-service. Andre partnerskabsmodeller af førstnævnte type er organiseret således, at partneren er mere specialiseret og har flere institutter tilknyttet. Det kunne eksempelvis være 2 medarbejdere, der løste alle opgaver for enhederne vedr. ph.d. administration. De forskellige modeller fastlægges efter kortlægning af arbejdsopgaver, specialiseringsgrad og medarbejderkompetencer. Nedenfor ses to eksempler på mulige partnerskabsmodeller på HR og IT.

Første beskrivelse af partnerskabsmodeller på HR og IT-området er vedlagt som bilag til dette punkt.

De ovennævnte beskrivelser danner rammen for et arbejde med generiske/ overordnede partnerskabsmodeller, således at partnerskabstanken forstås og bygger på nogle fælles opfattelser af grundlæggende principper¹ for opgaveløsning og samarbejde mellem institutter og FA og indenfor FA.

Målet og det grundlæggende princip for RUC's administration er, at den skal understøtte og sikre kerneopgaverne uddannelse, forskning og formidling heraf.

En forudsætning og ambition for en succesfuld gennemførelse af overførsel af ressourcer og opgaver fra institutterne og partnerskabsmodeller er, at administrationen på alle områder opleves som en administration for alle på RUC – serviceorienteret, tilgængelig og professionel. Det vil også kræve at der i fællesadministrationen arbejdes med serviceorientering og sammenhæng på tværs i administrationen.

Administrationen skal være:

- Serviceorienteret
- Specialiseret og professionel
- Standardiseret, dog med fagligt betingede variationer
- Digitaliseret
- Udtryk for helhedstænkning og være med til at skabe sammenhæng på tværs
- Tydelig og koordineret ledelse i et intensiveret samarbejde mellem institutter og fællesadministration

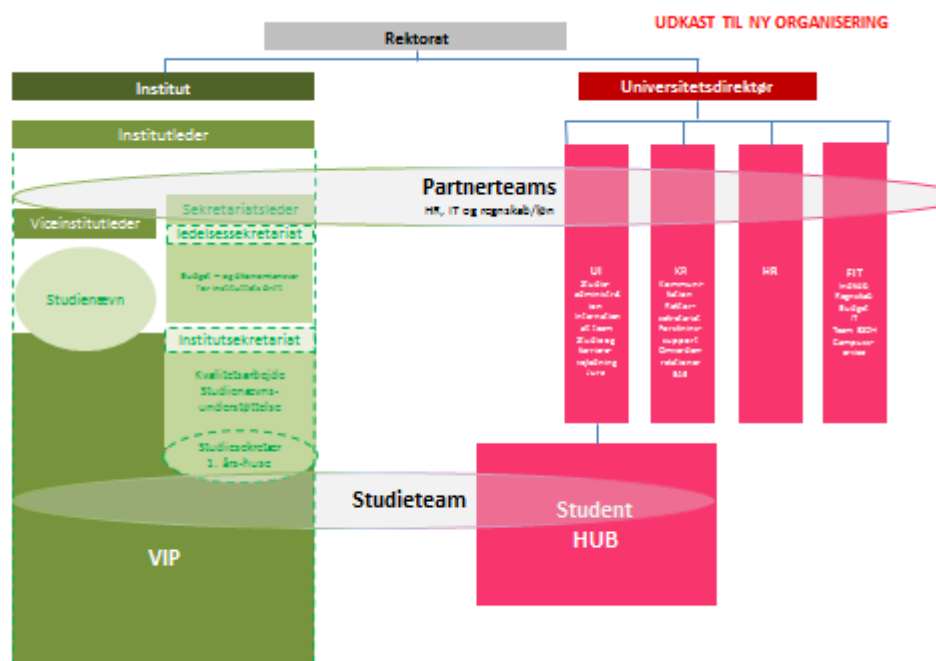
De administrative opgaver skal løses ud fra følgende præmisser:

- Den administrative opgaveløsning sker indenfor gældende regler og de givne økonomiske rammer, jf. besparelsesmålet på øvrig administration.
- Der kan være forskellige måder at organisere en partnerskabsmodel på, herunder graden af centralisering, jf. 3.2.
- Partnerskabstænkningen i forholdet mellem FA og institutterne er en grundforudsætning for at der i fællesskab udvikles de administrative ydelser. Der er et fælles ansvar for at opgaverne bliver løst. Derfor ordet partner og ikke leverandør. Det betyder også, at de ansvarlige kontorchefer har initiativpligt til at sikre regelmæssig dialog med institutterne om opgaveløsning og de har ansvar for at beskrive kerneopgaver på deres områder. Tilsvarende har institutternes ledelser og de administrative partnere i institutterne initiativpligt i forhold til at understøtte og i forhold til at beskrive kerneopgave på deres områder.
- Det er opgaverne og ikke prædefinerede strukturer, der styrer måden, der arbejdes sammen på. Samarbejde, fælles ansvar og bedst mulige brug af kompetencerne er styrende for varetagelsen af opgaverne. Opdeling og forskelle bør ikke være i fokus.
- Institutledere og sekretariatsledere medvirker løbende til at prioritere opgaver.
- I en partnerskabsmodel skal administrationen være på forkant og handle i samspil med institutledelsen proaktivt på instituttets udfordringer. Administrationen opnår en dybere indsigt i instituttets virke, hvorved indsatsen kvalificeres og målrettes. Grundig indsigt i instituttets opgaver og behov er en forudsætning for dels at kunne bidrage med den rette administrative support og dels at etablere en tæt og udbytterig relation med institutledelsen og medarbejdere på instituttet.

Første drøftelse af generiske principper for partnerskabsmodeller og centralisering er gennemført, jf. ovenfor. De overordnede principper danner udgangspunkt for den efterfølgende igangsættelse på områderne HR, økonomi og IT.

Arbejdet med partnerskabsmodeller organiseres i 5 arbejdsgrupper (IT, HR, økonomi, forskningsstøtte, ph.d. administration og kommunikation) med ledere og medarbejdere for FA og institutter. Arbejdsgrupperne om forskningsstøtte og kommunikation arbejder i første omgang med en analyse af hovedopgaver og medarbejdere mhp. vurdering og drøftelse i UL af mulige partnerskabsmodeller.

Udkast til den nye organisering er illustreret nedenfor:



3.3. Sammenlægning af løn og regnskab

Kontorchefen for HR og kontorchefen for FIT samt teamlederne for Team-løn og Regnskab er i færd med, at se nærmere på de enkelte opgaver og processer i de to enheder, for på den baggrund, at kunne give et bud på, om og hvordan sammenlægningen kan generere besparelse og foregå opgavemæssigt og personalemæssigt.

Der skal endvidere tages kontakt til bl.a. AU, CBS/IT-universitetet og Statens Administration for dialog og sparring om, hvordan lønadministrationen foregår der i forhold til en best practice analyse og vurdering af hvad der er mest meningsfyldt i en RUC kontekst.

3.4. Campusservice

Der vil blive igangsat en proces med at få kortlagt nuværende opgaver for på den måde at beskrive services. Videre skal der igangsættes en proces hvor mulighederne for udlicitering af campus afdækkes

3.5. Fusion af KA og UI

UL har været indstillet på så tidligt som muligt af følge denne anbefaling og har efter høring af HSU den 28. januar 2016 iværksat formalia om denne fusion.

4. Tidsplan/etaper

4.1. Oprettelse af institutsekretariat og ledelsessekretariat.

Der nedsættes en arbejdsgruppe, der kommer med forslag til udmøntning af opgaver for de nye institutsekretariat. Dette sker i tæt sammenhæng med partnerskabsmodeller.

4.2. Partnerskabsmodeller

Arbejdet i de 5 arbejdsgrupper opdeles i fem faser. Arbejdsgrupperne vedr. forskningsstøtte og kommunikation arbejder med fase 1, og 2.

Fase 1: Kortlægning af hovedopgaver på områderne. Denne kortlægning skal bruges som oplæg til forventningsafstemning og dialog om opgaver, som administrationen skal løse for institutterne samt dialog om snitfladen for, hvilke opgaver der skal varetages i institutterne og hvilke, der skal varetages i FA. I det arbejde hentes inspiration fra andre universiteter med partnerskabsmodeller.

Fase 2: Kortlægning af hvilke medarbejdere, der arbejder indenfor området – både i FA og på institutterne.

Fase 3: Risikovurdering: Gruppen behandler særlige risikoområder – det kan eksempelvis være i forhold til opgaveløsning, kompetencer eller IT-understøttelse.

Fase 4: På baggrund af 1, 2 og 3 kommer gruppen med forslag om hovedopgaver og estimeret bemandingsbehov/økonomi.

Fase 5: Spørgsmål om bemandingsbehov og økonomi skal ses i en sammenhæng på tværs af administrationen på RUC og vil skulle besluttet inden 1.10.

4.3. Sammenlægning af løn og regnskab

Et tidsestimat for en færdig gennemgang af processerne vil være i starten af juli 2016.

4.4. Campuservice

Der igangsættes en kortlægning af opgaver og services og herefter afdækkes mulighederne for udlicitering

4.5. Fusion af KA og UI

KA er pr. 19. februar 2016 organisatorisk lagt ind i UI.

5. Risikovurdering

5.1. Oprettelse af institutsekretariat og ledelsessekretariat

Institutsekretariaternes og ledelsessekretariaternes rolle og opgaver skal klargøres og i den forbindelse vil der blive nedsat en arbejdsgruppe, hvis arbejde hænger tæt sammen med de 5 grupper vedr. partnerskabsmodeller. Institutternes administration skal finde nye roller og samspil med FA. I den konkrete implementering er det vigtigt at have såvel ledelse og organisation som administrativ kvalitet og forenkling for øje, med VIP'erne og deres opgaver i centrum. Mens de studerende er centrum for reorganisering af studieadministrationen.

5.2. Partnerskabsmodeller

RUC's størrelse, placering på ét campus og en organisering uden fakulteter skaber gode forudsætninger for overførsel af opgaver og ressourcer fra institutterne til FA og partnerskabsmodeller, men der er udfordringer undervejs i det kommende implementeringsforløb. Erfaringerne med partnerskabsmodeller i den offentlige sektor viser bl.a. at der er en svær indkøringsfase med risiko for

servicetab/nærhed, overbureauokrati og etablering af skyggefunktioner. I en række tilfælde oplever både brugere og medarbejdere efter et stykke tid en mere professionel administration og service. Afgørende for om det lykkes at reducere omkostninger til administration afhænger bl.a. af om der forskellige steder i organisationen etableres skyggefunktioner/dobbeltfunktioner i forbindelse med omlægningen af administrationen.

FA og institutterne skal finde nye modeller for samspil og samarbejde.

Overførsel af opgaver og ressourcer fra institutterne til FA og partnerskabsmodeller på RUC vil ske samtidig med besparelser og givne økonomiske rammer. Derfor vil det blive nødvendigt med prioritering og forventningsafstemning i forhold til, hvilke opgaver der skal løses og hvordan. Denne forventningsafstemning og prioritering vil også skulle ske i UL.

5.3 Sammenlægning af løn og regnskab

En foreløbig kortlægning af opgaver og snitflader viser at størstedelen af Team-Løns opgaver relaterer sig til almen personaleadministration og det er således en mindre del af HR-Løns opgaver, der foregår i "økonomisystemer".

Ved at "bryde" de personaleadministrative processer ved sammenlægning af lønadministration til FIT/Regnskab bliver der mange/andre opgaveoverdragelser mellem HR og FIT/Regnskab (Løn). Snitflader og effektiviseringspotentiale skal undersøges nærmere. Såfremt gevinsten hidrører fra synergier mellem lønfunktion og regnskabsfunktion og medarbejderne fra HR-Løn dermed skal indgå i det øvrige arbejde i Regnskab vil det kræve en høj grad af kompetenceudvikling.

5.4 Campusservice

Det skal vurderes om det er rentabelt at udlicitere campusservice.

6. Kommunikationsbudskaber

Initiativerne under øvrig administration er led i ønsket om at spare penge på administration.

Partnerskabsmodeller og overførsel af opgaver og ressourcer fra institutterne til FA bliver etableret, fordi det giver en mere ensartet og enkel administration og muligheder for kompetenceudvikling i tættere faglige fællesskaber. De kommende institutsekretariater og ledelsessekretariater vil danne rammen om universitetets kerneydelse forskning, uddannelse og formidling heraf.

VIP'erne og deres funktioner som forskere og undervisere er et vigtigt omdrejningspunkt for den nye administrative ramme på institutterne.

ⁱ En række af de grundlæggende principper og præmisser for opgaver og samarbejde er udarbejdet af den administrationsgruppe, der blev nedsat som led i institutreformen i 2016.

Beskrivelse af partnerskabsmodel på HR-området - første udgave

"Human Ressource Managements is literally too important to be left only to HR managers" kilden er ukendt, men budskabet er essentielt i HR partnerskabstanken, som samarbejdsform mellem HR og organisationsledelse. HR partnerskab er netop et effektivt parløb mellem HR og ledere i organisationen, hvor begge parter erkender behovet for hinandens bidrag. I et partnerskab komplementerer HR og institutledelse hinanden med hver deres styrker, i fælles bestræbelse på at nå instituttets mål, optimere instituttets kerneområder og styrke universitet til fremtiden.

I dag varetages HR opgaver dels på instituttet, bl.a. med varetagelse af bløde HR opgaver og dels på centralt fællesadministrativt niveau, med varetagelse af traditionel personaleadministration og tværgående udviklingsopgaver. HR på RUC i dag, er således som helhed at betragte som primært transaktionel og er som sådan ikke en integreret del af instituttet endelige universitetets strategi.

Det er indstillet, at alle HR-relaterede opgaver på RUC centraliseres i én fælles HR enhed.

Forudsætninger

Etablering af HR partnerskabsmodel forudsætter involvering og ejerskab, både fra HR og fra ledelsesse. Partnerskab er et parløb og bygger på tillid og fortrolighed ligesom en anerkendende videndelingkultur er en forudsætning for et vellykket partnerskab, hvor man komplementerer hinanden institut og administration imellem.

Synlighed og tilgængelighed er ligeledes væsentlige forudsætninger for partnerskabsmodellen i forhold til at udvikle og vedligeholde relationer til såvel de formelle som de uformelle meningsdannere i forskellige grupperinger i organisationen.

Endelig er det en forudsætning for en vellykket partnerskabsmodel, at HR tænkes udefra og ind med løsningsorienteret tilgang, således at institutledelsens kan udføre de for instituttet væsentlige kerneopgaver, og driftsopgaver løses fleksibelt og operationelt.

Beskrivelse af HR partnerskabsmodel

Central HR er i dag primært en sagbehandlings- og kontrolenhed der indimellem opleves som værende lidt for firkantet i konkrete sager, der kræver fleksibilitet og konduite for at nå til en fornuftig løsning.

Partnerskabet mellem HR og institutterne skal have fokus på, at arbejde med fælles mål for instituttet gennem optimering af ledelseskraften og organisationens kompetencer, effektivitet, fleksibilitet og samarbejdsevne. Parløb mellem ledere og HR skærper ledelsens opmærksomhed på de organisatoriske HR aspekter. Ideen med partnerskab er, at begge parter opnår bedre resultater ved at arbejde som partnere i gensidig afhængighed, end parallelt i hver sin enhed, som tilfældet til dels er i dag. Som ledelsens partner udvides paletten mod et mere strategisk samspil og et medansvar for indfrielse af kerneopgaverne ved at have indsigt i instituttets aktuelle situation og dermed have bedre forudsætninger for at agere løsningsorienteret frem for kontrolorienteret. Konkret betyder dette at partnerskabet skal bibringe mere kvalitet og effektivitet i institutledelsens dag til dag-opgaver. Det kan eksempelvis være rådgivning og indstilling om ansættelse, personalesager, håndtering af konflikter mv. HR partnerteamet arbejder således både på strategisk niveau og løser operationelle opgaver, og har overblik over HR porteføljen på instituttet, men deltager også på centralt niveau i overordnede HR aktiviteter på tværs af universitetet.

Kilder:

- Gitte Mandrup: Perfekt partnerskab, Gyldendalske Boghandel, 2010
- Dave Ulrich: Human Ressource Champions, Harvard Business School Press, 1997
- Ian Hunter m.fl.: HR Business Partners, Grower, 2006
- HR Aarhus Universitet
- Aarhus Universitet, Fællesgrundlag for samarbejde

I en partnerskabsmodel afventer HR ikke at blive kontaktet ved konkrete sager, men er på forkant og handler i samspil med institutledelsen proaktivt på instituttets udfordringer. HR opnår en dybere indsigt i instituttets virke, hvorved HR indsatsen kvalificeres og målrettes. Grundig indsigt i instituttets opgaver og behov er en forudsætning for dels at kunne bidrage med den rette HR support og dels at etablere en tæt og udbytterig relation med institutledelsen og medarbejdere på instituttet.

Fysisk placering og organisering

Hvert institut får tilknyttet et fast partnerskabsteam, som tilsammen besidder de fornødne primære kompetencer for at kunne yde dag til dag HR support.

Den fysiske placering af HR partnerteamet er essentiel og mobilitet er en forudsætning. Synlighed og tilgængelighed for instituttet er væsentlige faktorer for, at partnerskabet kommer til at fungere optimalt. Omvendt er det også vigtigt for at bevare sammenhængskraften og videndeling internt i HR funktionen, at referenceforholdene er til HR chefen, idet det kan være nødvendigt ved helt særlige spidsbelastninger, som eks. personalereduktioner mv. ad hoc at justere på HR organisationen. Dette kan alene ske efter forudgående aftale med institutledelse.

Alle HR-medarbejdere vil få deres primære fysiske placering i den fælles HR-afdeling, mens der lokalt på hvert institut vil være et kontor, hvor en eller flere HR-medarbejdere fra partnerteamet vil være tilstede flere dage om ugen. Dette kontor/lokale servicecenter deles med de andre administrative enheder. I særlige situationer vil HR medarbejdere fra teamet kunne være oftere tilstede. Da der til hvert institut er et mindre team tilknyttet, vil man langt hen ad vejen kunne favne de mest relevante HR kompetencer ligesom det altid vil være muligt at få kontakt til en "kendt" HR person fra teamet selv om der er sygdom, ferie mv. Det instituttilknyttede HR partnerteam indgår ligeledes i et administrativt tværgående fællesskabsteam, fra andre administrative enheder i det omfang det er relevant for løsningen af konkrete opgaver.

Det er på tværs af partnerskabsteams HR chefens ansvar at sørge for alignment af opgaveforståelse og ensartet opgavevaretagelse på tværs af de institutspecifikke partnerskaber, således at HR praktiseres systematisk og ensartet på tværs af universitetet.

Sammenhængskraften i HR forstærkes med et fælles mindset samt klare rammer for samarbejde, mødestruktur og udveksling af viden.

Proces

Virksomhedens samlede HR-kapacitet skal foldes helt ud, så alle HR kompetencer kommer i spil og får effekt i organisationen. HR specialister i centrale HR funktioner og HR professionelle på institutterne har brug for hinanden for at kunne levere de bedste løsninger. Ledere og medarbejdere skal supporteres effektivt med service og tilpassede løsninger. De respektive HR funktioner skal være hinandens partnere til at levere effektfulde HR ydelser samt udveksle ekspertise og viden om universitetet, i et udbytterigt samspil mellem HR og institutterne, hvorved den fulde HR kapacitet på universitetet kommer i spil.

Institutledelse, lokal HR og central HR skal inddrages i processen med hvordan partnerskabet mere konkret skal formes og virke i praksis, startende med en kortlægning af den eksisterende HR portefølje både på lokalt og centralt niveau (dette arbejde er i samarbejde med sekretariatslederne allerede sat i gang). Der skal endvidere med inddragelse af ledelsens holdning til HR ses på sagsgange og processer med henblik på effektivisering og alignment. Endelig skal der skabes overblik over den samlede HR organisering, herunder hvem der skal varetage hvilke funktioner samt etablering af selve partnerskabsstrukturen.

Det foreslås at vælge en grundig proces med høj grad af involvering i planlægning og implementering, hvorved opnås at såvel HR som institutter bliver bedre rustet til at få den størst mulige effekt ud af partnerskabet.

Kompetenceudvikling og inspiration

I forbindelse med sammenlægning af HR funktioner og etablering af partnerskabsmodel vil der være behov for kompetenceafklaring samt at medarbejderne kompetenceudvikles og får en grundig introduktion til partnerskabstækningen.

Centralisering af HR funktionen og HR partnerskabsmodeller på andre universiteter vil kunne inspirere til yderligere tiltag end de, der her er beskrevet.

Partnermodel på it-området. Første beskrivelse

Alle it-relaterede opgaver på RUC samles i én fælles enhed, Det gælder både forskningsmæssig, uddannelsesmæssig og administrativ it. Det betyder at ekspertisen bliver samlet på ét sted, der bliver øget tilgængelighed i forhold til at få it-support, og der vil ikke længere være tvivl om, hvor man skal henvende sig med it-relaterede opgaver.

Det er målet, at den fælles it-enhed først og fremmest skal styrke tilfredsheden hos brugerne, både hvad angår udvidede åbningstider, tilgængelighed og specialviden. Dertil kommer at der skal effektiviseres med flere selvbetjeningsløsninger og bedre information til brugerne.

Fysisk placering og lokal it-support

Alle it-medarbejdere vil få deres primære fysiske placering i den fælles it-afdeling, mens der lokalt på hvert institut vil være et kontor/område, hvor en it-medarbejder typisk er tilstede 1 dag om ugen. Dette kontor/område deles med de andre administrative enheder via partnermodellen. I spidsbelastede perioder som ved semesterstart og eksaminer vil it-medarbejderen kunne være tilstede i længere tid, i det omfang der er behov for det. Ved sygdom eller andet fravær blandt it-medarbejderne, vil der være backup i forhold til den lokale tilstedeværelse, dvs. der kommer en anden it-medarbejder. Derved sikres en ensartet IT-service.

Skulle der opstå behov for it-support en af de dage, hvor it-medarbejderen ikke er tilstede lokalt på instituttet, kan brugeren enten få såkaldt fjernsupport, hvor en it-medarbejder løser problemet ved at overtage skærmen, brugeren kan selv henvende sig med problemet i Servicedesk, eller der kan sendes en it-medarbejder ud til instituttet for at få problemet løst, hvis det haster.

Servicekanaler

Personlig henvendelse

Foruden de lokalt bemandede kontorer, vil der være én fælles Servicedesk, hvor man kan henvende sig personligt for at få løst alle it-relaterede opgaver i tidsrummet 8-16, forudsat selvfølgelig, at det lader sig gøre.

Mail eller telefon

Man kan anmelde et problem eller bestille en opgave ved at sende en mail til servicedesk@ruc.dk, eller ved at ringe til servicetelefonen, som også altid er åben fra 8-16. Ved akut opståede problemer kontaktes servicedeskens telefon også, og der vil være beredskab i forhold til at løse problemer med udstyr til en undervisningssituation.

Det er målet at udvide åbningstiderne for henvendelser yderligere, dels så de matcher tiderne for kursusundervisningen, dels så de matcher de behov, der måtte opstå for udvidet support i eksamensperioder o. lign.

Specialopgaver (2.level support)

Der vil altid være en it-medarbejder med specialviden tilstede i tidsrummet 8-16, som vil kunne løse evt. opgaver. Henvendelse sker til Servicedesken.

Servicekatalog

Der skal udarbejdes et servicekatalog, der skal beskrive, hvilke services it-afdelingen leverer og dermed hvad universitetets brugere kan forvente.

Det skal beskrive alle it-områder som fx roller og ansvar, Servicedeskens og it-supportens omfang og hvad der kan forventes, telefoni-support, herunder support til mobiltelefoner, adgang til RUC's systemer

udefra, brugeradministration, netværk, Filservice, samt it-sikkerhed. Det er ikke tanken at servicekataloget får karakter af SLA'er (service-level-agreement), men skal mere bruges som et overordnet dialogredskab samt sikre en fornuftig forventningsafstemning.

Kompetenceudvikling og inspiration

I forbindelse med sammenlægningen af it-afdelingerne vil der være mulighed for den enkelte medarbejder at kompetenceudvikle sig og specialisere sig indenfor forskellige arbejdsområder. Det kunne være Netværk, Zenworks, Serveradministration eller lignende.

Sammenlægninger af it-afdelinger på andre universiteter vil kunne inspirere til yderligere tiltag end de, der her er beskrevet.

Pkt. 7 Fag, uddannelser og normer

1. Indstilling til bestyrelsen

Det indstilles, at rektoratet får mandat til

- at gå videre med at identificere fag der kan sammenlægges og fag og uddannelser, der kan lukkes.
- at beslutte en harmonisering af undervisningsnormer på tværs af RUC

Sparemål: min. 15 mio. dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring

UL-beslutningen:

2a Uddannelser:

- Struensee-rapporten giver nogle indikationer i forhold til, hvordan uddannelsernes økonomi hænger sammen. Analyserne bekræfter i øvrigt Deloitte's taxameteranalyse om at uddannelserne er underfinansierede. Men det ændrer ikke på behovet for at tage fat i fag- og uddannelsesviften, da alternativet ville være en grønthøstermetode.
 - De uddannelser Struensee-analysen angiver kunne sammenlægges eller nedlægges, er eksempler, ikke en plan. Beregningerne skal bruges som et redskab til at træffe strategiske valg, så RUC får skærpet sin uddannelsesprofil. Andre kriterier indgår i overvejelserne når disse valg skal tages.
 - UL finder at der skal regnes yderligere på den besparelse der kan opnås på dette område. Institutterne får hver en opgave for at opnå besparelsen. Endvidere skal institutterne undersøge, om der kan spares yderligere ift. studieordningerne, uden at det går ud over kvaliteten (timeantal, pædagogisk tilrettelæggelse herunder feedback mm.)
-
- Tidsplan: Der skal inden sommerferien foreligge en plan for, hvilke fag og uddannelser, der skal lukkes/sammenlægges, så det kan udmeldes i god tid inden åbning for ansøgninger til optaget september 2017.

2b Normer:

- Der er behov for at skabe en fælles politik for normer på RUC. Normer handler om transparens og kvalitet. Det handler ikke mindst om at udjævne for at give fagene ensartede betingelser og styrke kvaliteten der hvor normerne er for lave, til gavn for de studerende. Samtidig skal der tages hensyn til enkelte særlige arbejdsformer, fx værkstedsundervisning, laboratoriearbejde og feltarbejde.

3. Status

3a Uddannelser: Proces for, hvilke uddannelser RUC skal have fremover

Det er vigtigt at fag og uddannelser på længere sigt gennem en hensigtsmæssig uddannelsesstruktur opnår en vis bæredygtighed, hvilket vil sige, at der er et tilstrækkeligt studentervolumen, især i forbindelse med kursusaktiviteter.

Procesoplæg, jf. bestyrelsesseminar:

- 1) Beslutte målet, og lægge pres på at der faktisk prioriteres og vælges fra samt at uddannelserne i højere grad ses i en samlet strategisk sammenhæng på tværs af RUC
- 2) Beslutte principper og kriterier for lukning og sammenlægning i åbenhed, i UL og AR
- 3) Udarbejde en milepælsplan for de forskellige modeller og løsninger

Ad 1) Målet er at tydeliggøre RUC's uddannelser og uddannelsesprofil og at opnå den ønskede besparelse. Med kandidatreformen har vi fået etableret en struktur/arkitektur der både rummer kombi og fagintegrerede kandidatuddannelser. Hvordan fylder vi disse rammer ud, så RUC's uddannelsesprofil både hænger sammen med vores strategi og grundfortælling – og så den står skarpt og klart i universitetslandskabet – også for bachelorer, der kommer ind udefra?

Små fag kan være strategisk vigtige, men der skal foreligge en plan for deres styrkelse på RUC, de skal have en klar RUC-profil og må ikke være for lig med fag på andre universiteter.

Alle fire institutter skal fremlægge en plan for sammenlægning/lukning, inkl. en vision for uddannelsesviften – herunder sammenhæng til de øvrige institutters uddannelser og sammenhængen på tværs af RUC, muligheder for bedre adgang til kandidatuddannelserne udefra. Da selve udmøntningen af nedlæggelse/sammenlægning ift. de nuværende, centrale regler på området er meget lang, skal institutterne gennemgå studieordningerne for de nuværende fag og uddannelser med henblik på at strukturere semesteret (BA og KA), så det følger 5+10 ECTS for kurserne og 15 ECTS for projektet.

Ligeledes skal studienævnene angive minimumsstørrelse på kurserne ift. om disse kan udbydes fra semester til semester. Frist for disse ændringer er 1. november 2016 med henblik på ikrafttrædelse 1.9.2017.

Plan og studieordningsændringer skal vedlægges en beregning af den besparelse der kan opnås gennem disse aktiviteter.

Ad 2) Principper og kriterier fra bestyrelsesseminaret

De grundlæggende principper er, at RUC har både kombi- og fagintegrerede uddannelser, at vi skal profilere uddannelserne og at vi satser på attraktivitet og studenterøgning. Kriterier for valg af uddannelser som RUC vil satse på:

- a) strategisk profil og profilering,
- b) klarhed/forenkling/oprydning (også i den interne kommunikation til studerende)
- c) kritisk masse i forhold til kvalitet og økonomi/STÅ (over tid)/rentabilitet, *
- d) beskæftigelse/dimensionering/samfundsrelevans,
- e) transformation/nytænkning.

Typer af sammenlægninger/lukninger:

- Minimum 3 fag går sammen i fælles dobbelt fagmodul på bachelor
- Flere fag går sammen i et fælles fagmodul
- Særligt profilerede kombier fremhæves og brandes og søger på sigt godkendelse hos RUVU (skal de herefter akkrediteres?)
- Kombier lukkes – fx spejlinger: med samme titel, med to mulige titler? (gå efter at have i alt 100 kombier?)
- Enkelte fag lukkes

Hvert af disse scenarier må ske med baggrund i forskellige kriterier.

Ad 3) Milepælsplan – se nedenfor under 4.a

3.b. Normer

UI udarbejder et oplæg til harmonisering af undervisningsnormer på tværs af RUC – normer er at foretrække som rammer for ressourcetildeling. En harmonisering af normer bør ikke medføre en egentlig arbejdstidsaftale, da der alle steder på RUC allerede findes normer. Det er disse, der skal harmoniseres for at etablere transparens og ensartede betingelser for de studerende og underviserne.

4. Tidsplan/etaper

4.a. Uddannelser

Der skal tænkes i faser på vej mod en samlet vision for RUC's uddannelsesudbud på kandidatniveau med klare og kommunikérbare profiler, der giver mening og hænger sammen med RUC's pædagogiske model, faglige profil og forskningsstyrkeområder. Det samme gælder strukturen på bacheloruddannelserne, der ligeledes skal forenkles.

Der vil blive udarbejdet en detaljeret tidsplan, der sigter på et beslutningsgrundlag til bestyrelsen primo november 2016 - med angivelse af:

- 1) nødvendige beslutninger på RUC-niveau:
 - a. Beslutning om strategi/vision for RUC's uddannelsesstruktur og fagvifte, i pagt med strategi og overordnede principper og kriterier
 - b. Beslutning om en forenklet og ensartet bachelorstruktur
 - c. Beslutning om lukninger af enkelte fag
 - d. Beslutning om fagsammenlægninger
 - e. Beslutning om særligt profilerede kombier
- 2) opgaver for institutter og studienævn - herunder tidsplan for indstilling fra institutterne om sammenlægning/lukning, inkl. redegørelse for især de økonomiske konsekvenser
- 3) angivelse af behandling i relevante organer på institutniveau og i de relevante organer og en tværgående vurdering i UDDU/AR og beslutning i UL og i sidste ende rektoratet med samlet indstilling til bestyrelsen. Der lægges vægt på en samlet plan og en klar og sammenhængende strategisk tænkning.

4.b. Normer

UL behandler forslag til harmonisering af normer på UL-møde i foråret.

5. Risikovurdering

5.a. Uddannelser

En betydelig risiko for arbejdet med sammenlægning eller lukning af uddannelser er de nuværende, centrale regler og bestemmelser, der betyder, at en beslutning om lukning har en endog meget lang tidshorisont ift. at opnå de ønskede besparelser – se bilag 1 og 2

6. Kommunikationsbudskaber

6.a. Uddannelser

Tiltaget med at sammenlægge og lukke fag og/eller uddannelser er valgt for at undgå at "grønthøste" alle fag og uddannelser: Vi ønsker at fastholde kvalitet i undervisning og vejledning. Dette er blevet bekræftet og understreget af AR og igen på bestyrelsesseminaret.

6.b. Normer

Harmonisering af normer for undervisning og vejledning er nødvendig ift at skabe transparens og ensartede betingelser for de studerende

Bilag:

Bilag 1: notat om processen for sammenlægning/lukning af uddannelser på RUC i om de eksisterende regler på området

Bilag 2: grafisk fremstilling af proces for lukning af uddannelser

Bilag 1 til punkt 7 *Uddannelser og normer*

Som bilag til punkt 7 i UL's indstilling *Uddannelse og normer* har UI udarbejdet denne oversigt over forløbet ved sammenlægninger og/eller lukninger af fag og uddannelser.

Der er tale om et forløb, der forholder sig til de eksisterende, centrale regler på området. Der har fra RUC's side været en forespørgsel til styrelsen om muligheden for at lukke uddannelser/nedlægge fag hurtigere end i dag. Dette set i lyset af, at flere af universiteterne har brug for at kunne lukke ikke-rentable uddannelser hurtigere både for at opnå den nødvendige besparelse - og for at undgå at udhule kvaliteten i uddannelserne ved løbende at være tvunget til at mindske omfang af eksempelvis kurser, tilknyttede VIP, forskningsbaseret med mere.

Styrelsen har svaret, at de ser på sagen, men at de ikke kan sige noget nærmere om hvornår, der evt. vil være en hurtigere model.

Som det vil fremgå af nedenstående, er det et meget langt og besværligt forløb at sammenlægge eller lukke uddannelser, og det er derfor værd at overveje, hvordan denne problematik kan løstes politisk – i højere grad end hidtil.

Indtil der kommer en central udmelding, ser tidshorisonten således ud – illustreret grafisk i bilag 2:

- En evt. beslutning om at sammenlægge fag/uddannelser vil skulle forelægges for ministeren (Styrelsen for Videregående Uddannelser) til godkendelse inden sammenlægningen kan gennemføres.
Efter akkrediteringsloven skal en sammenlægning af uddannelser ikke prækvalificeres (med mindre der sker en betydelig ændring), men ”Ministeren fastsætter nærmere regler om betingelser for sammenlægning af uddannelser uden forudgående prækvalifikation, herunder lukning af uddannelser og andre forhold ved sammenlægning af uddannelser”. Den tidsmæssige ramme for denne proces kender UI desværre ikke.
- Ved nedlæggelse af fag eller uddannelser skal styrelsen alene orienteres.

I det følgende vises en oversigt over relevante datoer og tidsforløb m.v., som det er hensigtsmæssigt/vigtigt at være opmærksom på.

Opstillingen er opdelt i 3 dele:

- 1) En for lukning af fag (uden overførsel af aktiviteter til andet universitet)
- 2) en for sammenlægning af fag
- 3) en for nedlæggelse af kombier (uden at de omfattede fag nedlægges eller sammenlægges).

Det må antages, at nedlæggelse af kombier kan nedsætte den administrative byrde, der er knyttet til driften af en uddannelse (udarbejdelse/vedligeholdelse af studieordningen, kvalitetssikring,

evaluering m.m.), men ikke nødvendigvis føre til besparelser på undervisningssiden, da undervisningen udbydes i hold på tværs af kombiuddannelserne. Der vil på de enkelte fag tværtimod være en vis risiko for færre studerende på de enkelte hold/fag. I det omfang, de studerende vælger alternative uddannelser på RUC – og ikke uden for RUC – kompenseres det dårligere dækningsbidrag på ét fag af et bedre på et andet. Risikoens størrelse afhænger af antallet af studerende på kombinationen.

Ved sammenlægning af fag og ved overførsel af uddannelser/dele af uddannelser til andre universiteter, vil der kunne opnås en hurtigere virkning end ved nedlæggelse af fag. Omvendt kan det forhold, at en sammenlægning forudsætter styrelsens godkendelse – og dermed en proces af ukendt længde - medføre, at en sammenlægning først kan iværksættes senere end ved faglukning.

Hvor meget hurtigere en overførsel til et andet universitet eller en sammenlægning vil kunne være end en nedlæggelse (uden overførsel) vil afhænge af de konkrete omstændigheder, herunder ikke mindst hvor lang tid, det tager at tilrettelægge og gennemføre en sammenlægning af de berørte fag under hensyn til f.eks. igangværende studerende – eller – at forhandle en overførsel på plads. Fag, der indgår i kombistrukturen, har i praksis vist sig vanskelige at overføre til et andet universitet, da forskellene i uddannelsesstrukturen universiteterne imellem er betydelige.

UI har i det følgende tentativt indsat mulige tidspunkter for iværksættelse af de forskellige processer. Det vil være op til ledelsen at vurdere, om disse tidspunkter er realistiske eller om der er behov for kortere (eller længere) implementeringsprocesser. Der vil kunne være situationer, hvor der er behov for at ændre f.eks. årstallene for en af de anskueliggjorte processer, uden at der er behov for at ændre årstallene for de øvrige.

Som det fremgår af oversigten tager det op til 5 år før f.eks. en lukning af et fag har fået fuld virkning.

1. Beslutning om lukning af et fag/en uddannelse

(uden overførsel til andet universitet)

	Iværksættelses/vejledningsperiode forud for optag	
2016/17	1. september	Vejledningen frem mod optaget i det følgende år (2017/2018) påbegyndes. (For optaget i 2016 påbegyndtes således vejledningen i september 2015 med både information på web, trykt materiale udleveret allerede i august 2015 (på Uddannelseskaravanen) og ved personlige samtaler ¹ .) Ændringer, der iværksættes efter påbegyndelse af vejledning forventes

¹Dvs., selv om det er selve ansøgningstidspunktet, der formelt er det afgørende, vil der være en længere forudgående periode, hvor studerende har modtaget vejledning og læst informationsmateriale (uden forbehold) og på den måde vil have en forventning om, at det her angivne udbud er gældende for studiestart september år 1.

		at medføre klager. Jo tættere på tidspunktet for ansøgning om optag ændringerne foretages, jo flere og alvorligere klager må forventes, jf. nedenstående punkter.
	1. oktober	Fagtilmeldingsdag for igangværende bachelorer (3. semester). Gennemførte tilmeldinger er bindende for universitetet – men ikke for de studerende fsv. deres fag 2.
	Primo oktober	Der åbnes for ansøgninger om optagelse på en kandidatuddannelse pr. februar 2017. Kandidatuddannelser og -fag, der skal afvikles, kan evt. lukkes for eksterne ansøgere, hvis dette fremgår i god tid før 1. oktober . Interne retskravsansøgere fra en af RUCs bacheloruddannelser kan optages på en overgangsordning.
	Primo december	Oplysninger om optagelsesområder og fagudbud indlæses i ug.dk og optagelse.dk (Undervisningsministeriets uddannelsesguide og ansøgningsportal).
	Effektueringsperioden begynder	
	1. februar	Hjemmesiden bør/skal afspejle udbuddet for både kandidat- og bachelorniveau. Angive forbehold? Materiale til åbent hus skal være klart. ²
	1. februar	Der åbnes for ansøgninger i kvote 2 . Ansøgere kan have klare (retlige) forventninger om at kunne gennemføre de kombinationer, der udbydes på den dag – medmindre universitetet tager forbehold på hjemmesider m.v. Selv med et forbehold må der påregnes klager og troværdighedstab. Forbehold skal gerne fremgå i meget god tid før ansøgningsfrister, ligesom Studievejledningen skal have mulighed for at tage eventuelle forbehold i samtaler, mails etc. Kandidatuddannelser og -fag, der skal afvikles, kan være lukket for eksterne ansøgere, jf. om primo oktober ovenfor .
	1. marts	Åbent hus for kommende studerende – vejledning i forhold til optagsmuligheder.
	15. marts	Der lukkes for ansøgninger i kvote 2 til bacheloroptaget.
2017/18	1. september	Bachelorer optaget pr. denne dag kan ikke vælge de fagkombinationer, som der var taget forbehold for (og som efterfølgende nedlægges) eller

² Eksempel: RUC deltager f.eks. på Uddannelse Uden Grænser i Bella Center den 10.-11. februar 2016. Åbent hus bachelor afholdes første gang den 1. marts 2016. Der er, jf. ovenfor allerede trykt materiale klar i august 2015. Dette vil, med mindre revisioner, være det samme materiale, der anvendes til åbent hus.

(Materiale skal normalt indleveres til tryk mindst 1 uge før det skal bruges – og gerne før, når der er tale om større antal tryksager.)

		som var fjernet før de søgte. Bachelorer optaget tidligere kan overføres til overgangsordninger³. I det følgende tages udgangspunkt i de situationer (worst case), hvor bachelorstuderende, der er optaget før 1. september 2017 <u>ikke</u> kan henvises til andre fag end de(t), der tænkes nedlagt.
	Oktober	Fagtilmelding. Bachelorer optaget september 2016 vælger typisk begge og mindst 1 af de to fagmoduler i dette semester. Den studerende kan senere vælge et andet fag 2. De har fulde valgmuligheder – medmindre der er taget forbehold på hjemmesider m.v. forud for optaget i 2016.
	Forårssemester	Bachelorstuderende optaget 2016 gennemfører ofte hovedparten af det første bachelorfagmodul.
2018/19	Efterårssemester	Bachelorstuderende gennemfører ofte en del af det andet bachelorfagmodul.
	Juni/juli 2019	Bachelorer optaget pr. september 2016 forventes færdige ved sommereksamen. Evt. lukninger af bachelorfagmoduler besluttet/sat i værk pr. februar 2016 afsluttes.
2019/20	1. september	Overgangsordning i forhold til optag af studerende der blev "lovligt" forsinkede på bacheloruddannelsen – og – har retskrav.
	1. september	Det har tidligere været god skik at give de studerende 1 år ud over den normerede studietid til at færdiggøre deres uddannelse. Det har i praksis ikke været nok for alle. På baggrund af fremdriftsreformens krav, kunne den tidligere "gode skik" måske anses for bortfaldet. Det er dog pt. ikke muligt at vurdere, hvad de kommende ændringer af fremdriftsreformen kommer til at betyde. Det vil afhænge af, hvordan de statslige regler udformes og hvordan RUC vælger at implementere. Uanset udfaldet må der forventes behov for særordninger for studerende, der er forsinket på grund af f.eks. barsel eller militærtjeneste, eller godkendte forsinkelser på grund af elitesportsudøvelse m.v. Særordninger kunne f.eks. omfatte adgang til digitale gengivelser af forudgående semestres undervisning (og bortfald af evt. krav om aktiv deltagelse m.v.) med efterfølgende prøver eller særlige meritordninger. Bemærk, at digital optagelse af undervisning og efterfølgende anvendelse til "undervisning" kan forudsætte forhandling med pågældende undervisere (omfang af ophavsret?). Det må understreges, at det forventes, at en så hurtig lukning af fag m.v. vil medføre et betydeligt ressourceforbrug til at håndholde et betydeligt antal studerende, der kommer i klemme. Hvis regler om

³ (Ordet "overgangsordning" forstås bredt – der kan afhængig af de konkrete omstændigheder være flere muligheder som f.eks. tidsbegrænsede studieordning/kombimuligheder eller overførsel til andet universitet, der udbyder relevante studieaktiviteter, der kan meritoverføres efter nærmere aftale.)

		tvangstilmelding helt bortfalder på RUC øges antallet yderligere! <i>Det er studieadministrationens vurdering, at det øgede ressourceforbrug til dette vil være af mindst samme omfang som besparelserne på fag-niveau ved at lukke et år tidligere end hidtidig god skik. Studieadministrationen kan derfor ikke anbefale en forceret lukkeproces.</i> Kandidatuddannelser: Sidste optag på lukkende fag/uddannelser af hensyn til retskravsbacheloror. (Skulle det bekendtgørelsesfastsatte retskrav blive ophævet kan der lukkes tidligere.)
2020/21	Juni/juli 2021	Studerende optaget på bacheloruddannelse i 2016 forventes færdige med kandidatuddannelsen
2021/22	1. september	Kandidatuddannelser: Udbud af fag/uddannelser under afvikling afsluttes. Se kommentarer ovenfor under "1. september år 2019/2020" om evt. afvigelse fra hidtidig god skik vedrørende ophør af udbud af en uddannelse. Den gælder tilsvarende her.

2. Beslutning om sammenlægning af et fag med et andet blivende fag

Mulighederne beskrevet nedenfor *forudsætter dels styrelsens godkendelse af en sammenlægning og dels at de studerende, der går på det fag, der lægges ind under et andet fag, ikke stilles væsentligt ringere* – f.eks. kompetence og erhvervsmæssigt – end hvis RUC fortsat udbød det pågældende fag.

Tidshorisonten for sammenlægninger, der stiller de studerende væsentligt ringere, vil være den samme som ved lukninger af fag.

Hvis der er studerende, der følger/havde til hensigt at følge en kombinationsuddannelse med to fag, der ønskes sammenlagt, og ingen af fagene udbydes som en fagintegreret uddannelse, opstår det problem, at det blivende fag ikke kan "huse" en kombikandidatstuderende, der skal gennemføre 2 års studier. I disse situationer vil der derfor være behov for en gennemførelsesperiode, der svarer til den oven for nævnte for lukninger af fag.

Ved en sammenlægning af kombinationsfag vil det være nødvendigt – i hvert fald i en overgangsperiode svarende til den for lukning af fag – at sikre, at det fortsættende kombinationsfag udbydes ikke blot i de hidtidige kombinationer, men også i de kombinationer, som det andet fag indgår i. Det gælder fsv. uanset om fagene indgår som fag 1 eller fag 2!

Iværksættelsen vil kunne blive forsinket (i forhold til iværksættelse af faglukninger), da der først skal indhentes en godkendelse fra styrelsen. Det gælder uanset, om der er tale om den ene eller anden type af sammenlægning.

I processen ses der på den baggrund bort fra det forhold, at de studerende forud for optaget og i den første del af uddannelsen har fået kendskab til/forventning om, at de efter afsluttet basisforløb vil have de hidtidige muligheder for at vælge fagmoduler inden for gældende udbud.

UI har overvejet, men finder det betænkeligt, at gennemføre sammenlægninger af fag på en sådan måde, at sammenlægningen omfatter studerende, der allerede er optaget på faget/fagmodulet.

Det skal ses i lyset af, at væsentlige ændringer af studieordninger skal være sat i kraft forud for et studieår og at en sammenlægning med et andet fag må antages at være en mere end almindeligt væsentlig ændring. Det gælder også selvom vi her kun forholder os til sammenlægninger, der giver de studerende nogenlunde samme faglige kompetencer og erhvervsmuligheder.

Ved sammenlægning af kombikandidatuddannelse kan der – i hvert fald teoretisk – tænkes forskellige varianter:

- kombinationen fag A + fag B sammenlægges med kombinationen fag A + fag C, eller
- kombinationen fag A + fag B sammenlægges med kombinationen fag C + fag D.

OBS: Følgende tidshorisont gælder kun ved evt. sammenlægninger, hvor der ikke er studerende, der følger to fag, der sammenlægges. Spørgsmålet er, om det vil forekomme.

		Iværksættelses- og effektueringsperiode
2016/17	1. september	Kandidatuddannelser og -fag, der skal lægges sammen med et andet fag, lukkes for interne og eksterne ansøgere . Der skal fortsat være adgang for ansøgere til det fag, der fortsætter. RUC bachelorer med et fag/uddannelse, der lægges sammen med et andet fag/uddannelse henvises således også til det fag, der fortsætter. Forudsætning: At det er sikret, at de studerende ikke kan gøre gældende, at de har et retskrav på optagelse på det fag, der lægges sammen med et andet. Dette bør sikres gennem dialogen med styrelsen. Kandidatstuderende optaget pr. februar 2016 er sidste årgang, der får ret til at gennemføre de fag, der sammenlægges med et andet, i den oprindelige udgave.
	1. september - efterårssemester	Bachelorer optaget i 2015 vælger typisk begge og mindst 1 af de to fagmoduler i dette semester. Den studerende kan senere vælge et andet fag 2.
	Forårssemester	Bachelorstuderende optaget i 2015 gennemfører ofte hovedparten af det første bachelorfagmodul.
2017/18	Efterårssemester	Bachelorstuderende gennemfører ofte hovedparten af det andet bachelorfagmodul.
	Ved efterårssemesterets afslut-	Kandidatuddannelser: Udbud af fag/uddannelser der sammenlægges med et andet fag/anden uddannelse afsluttes. Kandidatstude-

	ning	rende optaget senest pr. 1. februar 2016 forventes at færdiggøre deres kandidateksamen på det fag, der er under sammenlægning, ved vintereksamen studieåret 2017-2018. Der kan dog være behov for særordninger for studerende, der ikke færdiggør til normeret tid. Se betragtningerne ovenfor under fagnedlæggelser om god skik (normeret tid + 1 år).
	Forårssemester	Bachelorstuderende optaget pr. september 2015 forventes færdige ved sommereksamen. Evt. sammenlægning af bachelorfagmoduler besluttet/sat i værk pr. februar 2016 kan afsluttes. Dog kan der være forsinkede bachelorstuderende, der først bliver færdige senere. Se betragtningerne ovenfor under fagnedlæggelser om god skik (normeret tid + 1 år).
2018/19	Efterårssemester	Evt. overgangsordninger for forsinkede bachelorstuderende optaget pr. september 2015, jf. ovenfor.

3. Beslutning om nedlæggelse af kombikandidatuddannelser uden nedlæggelse af de omfattede fag

Ved nedlæggelse af kombikandidatuddannelser, hvor de indgående fag ikke nedlægges, men videreføres i andre kombinationer, kan der fastsættes bestemmelser i de pågældende studieordninger om lukningen af kombinationen og om overgangsordninger for igangværende studerende, herunder bachelorer med retskrav.

Det vil være en forudsætning for lukning af kombinationer, at der forud er sket en lukning for optagelse på bacheloruddannelser med de pågældende kombinationer.

Nedlæggelse af kombinationer kan gennemføres med et totalt ophør af udbuddet eller med en overførsel til et ”tilsvarende udbud” – som ved sammenlægninger af fag.

Der henvises derfor til oversigterne ovenfor om henholdsvis nedlæggelse af fag og om sammenlægning af fag.

Der er – som nævnt indledningsvis – et mindre besparelspotentiale ved nedlæggelse af kombiuddannelser uden samtidig lukning af fag. Til gengæld bliver en lang overgangsperiode mindre problematisk, da der fortsat vil være et udbud af de fag, der indgik i den lukkede kombi.



Pkt. 8 EAE

1. Indstilling til bestyrelsen

Det indstilles,
-at EAE placeres i rektorsekretariatet.

Sparemål: 1 mio. dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

EAE ligger i dag som en del af IMT, men henvender sig til alle VIP på RUC med efteruddannelsestilbud. EAE varetager akademisk efteruddannelse ved Roskilde Universitet. Akademisk efteruddannelse defineres her som aktiviteter, der understøtter Roskilde Universitets videnskabelige medarbejdere i deres undervisning, uddannelsesledelse, formidling og forskning. EAE varetager den lovgivningsbundne opgave omkring udbud af adjunktpædagogikum og spiller en central rolle i kvalitetsarbejdet. Der er mulighed for at gøre denne rolle endnu mere tydelig, f.eks. gennem at afholde et obligatorisk certificeringskursus indenfor RUC's læringsfilosofi for nyansatte lektorer og professorer og deltids-VIP.

3. Status

- Det foreslås at der dannes et center, Center for Akademisk Efteruddannelse/Center for Academic Development.
- Centeret lægges under rektorsekretariatet som en selvstændig enhed med sit eget budget.
- Sekretariats- og kommunikationschefen har personaleansvaret for centerleder, der i forhold til egen forskning refererer til institutlederen på IMT.
- Centeret får en styregruppe, som skal bestykes af institutrepræsentanter og repræsentanter fra det fælles niveau. Styregruppen har det overordnede ansvar for kvalitet og økonomi for aktiviteterne i centeret. Styregruppen skal fungere som et væsentligt forbindelsesled mellem centret og institutterne. Universitetsledelsen modtager årlige rapporter om centerets aktiviteter samt hvordan centeret i det forgangne løb har understøttet RUC's strategi.
- Centerets VIP bliver allokeret fra institutterne. F.eks. en VIP som tager centerlederrollen allokeres 60% til centret (administration og undervisning) hvor 40% er fri forskningstid. Forskningsoutput noteres i VIPs ansættelsesinstitut. Ansættelsesinstitut skal udøve forskningsunderstøttelse for den pågældende VIP. Det samme gælder andre VIP allokeringer, med den forskel at Centerleder har personale-ansvar i den tid VIP er allokeret til centeret.
- Akademisk-IT placeres i centret
- Centeret ansætter selv TAP med Centerleder som personaleansvarlig.
- Centeret skal være et centralt udviklingsrum og samlingssted for RUCs 'Scholarship of Teaching and Learning' (undervisningsbaseret forskning)

4. Tidsplan/etaper

Kan ske i forbindelse med den øvrige organisationsproces med organisatorisk ændring pr. 1/10-2016

5. Risikovurdering

6. Kommunikationsbudskaber

Dette forslag vil signalere at EAE er et fælles RUC-anliggende og ansvar, både internt på RUC og eksternt. Det vil muliggøre et større og bredere RUC-ejerskab. Det vil blive tydeligere at EAE's rolle er en central og tydelig systemsikring af kvaliteten af undervisningen i forhold til institutionsakkreditering. Centeret bliver en ny konstellation i RUC's organisation i og med at det bliver en faglig og forskningsbaseret enhed udenfor institutterne.

Pkt. 9: Universitetsbiblioteket

1. Indstilling

Det indstilles, at

- besparelserne på 3,5 mio. kr. findes inden for den nuværende organisatoriske ramme,
- der snarest oprettes en task force, som har til opgave at udarbejde en vision og en strategi for, hvordan RUB kan integreres stærkere i RUCs lærings-forsknings-og formidlingsstrategi,
- Task forcen skal udarbejde en procesplan i 2016, med det formål at integrere RUB stærkere i RUC for at bringe RUC på international højde med førende universiteter inden for det lærende universitet og
- task forcen skal afstemme RUC's forventninger til et samarbejde med KB eller andre universitetsbiblioteker, som på sigt kan føre til, at RUB fx kan indgå i en samarbejdsaftale, som den KU har med KB.

Sparemål: 3,5 mio.dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

Der er taget udgangspunkt i tre scenarier:

- a. Besparelser på 3,5 mio. kr. inden for den nuværende organisatoriske ramme
- b. Virksomhedsoverdragelse af biblioteksdriften på RUC til Det Kongelige Bibliotek (KB)
- c. Mulighed for virtuelt bibliotek

3. Status

Der arbejdes videre med scenarie a.

Der har været drøftelser med KB vedr. virksomhedsoverdragelse. Status er, at dette ikke lader sig gøre (punkt b lader sig ikke opfylde som sparemål).

Opbygningen af et virtuelt bibliotek (punkt c) har den vanskelighed, at det ikke er muligt at overlevere det fysiske materiale til anden side, samt at en væsentlig del af det materiale der anvendes i undervisningen er på dansk. Der findes kun meget begrænsede materialer på dansk i elektronisk form. Endelig vil købet af licenser til yderligere udenlandsk materiale være omkostningsfuldt. Det skal i denne forbindelse bemærkes, at et samarbejde med KB om at RUB får adgang til KB's elektroniske materialer fra RUB, ikke er en mulighed, da licenser under forlagernes/udbydernes nuværende internationale set-up er universitetsafhængige. Der skal i så fald forhandles helt nye modeller, hvis RUC som site skal kunne indgå i KB's licenser. KB afviser mulighed for genforhandling af licenser.

4. Tidsplan/etaper

Besparelse på bibliotekets drift (løn, materiale og øvrig drift) nås pr. 1.1.2019.

1. Besparelsen findes gennem nedbringelse af personaleantallet med 5-7 personer (1.1.2016-31.12.2018) = 2.750.000 kr.
2. Besparelse på materialekonti 600.000 kr. (pr. 31.12.2018). Reduktion på 5,5 %
3. Driftsbesparelse (outsourcing af bibliotekssystemet ved f.eks. Det Kongelige Bibliotek og Statsbiblioteket): 75.000 pr. år. = 150.000 kr. (1.1.2017-31.12.2018).

5. Risikovurdering

Det forventes, at bibliotekets samlede services over for studerende og forskere mht. undervisning, vejledning, projektbibliotekar, forskningsregistrering mv., umiddelbart vil kunne opretholdes på et niveau, hvor der er tale om et både serviceorienteret og effektivt bibliotek, som på trods af besparelserne vil være en tydelig gevinst for RUCs profil med gode studie- og forskningsfaciliteter. Det må dog forventes at der vil ske en række serviceomlægninger. F.eks. kan det forventes at der vil ske et fald i mængden af materiale, som findes på stedet. Der vil være færre bemandede timer i informationsskranken og materialefremskaffelse vil formodentlig kunne komme til at foregå langsommere end i dag pga. den reducerede bemanning. IT-support både internt til personalet og til bibliotekets brugere vil være afhængig af RUCs generelle IT-prioriteringer eller af eksterne samarbejdspartnere.

6. Kommunikationsbudskaber

RUB skal bidrage med besparelser på linie med alle RUCs enheder. Besparelserne tager udgangspunkt i driftsbesparelser. Sideløbende arbejdes med at integrere RUB stærkere i RUCs lærings-forsknings-og formidlingsstrategi. Målet er at bringe RUC på international højde med førende universiteter inden for det lærende universitet.

Pkt. 10 Indtægter

1. Indstilling til bestyrelsen

Det indstilles, at

- der på indtægtsområdet er et indtægtsmål på 5 mio.kr.
- netto 50% skal findes i 2017, 70% i 2018, og 100% i 2019.

Indtægtsmål: 5 mio. dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

UL's forslag:

- Vi skal arbejde for at fastholde de indtægter vi har, herunder færdiggørelsesbonus, og helst skabe nye indtjeningsmuligheder. Kræver stort ledelsesfokus.
- Indsats for at mindske frafald på kandidatuddannelserne samt gøre det lettere at komme ind for bachelorer udefra (kommunikation, markedsføring, struktur, optagelseskrav og vejledning).
- Indsats for at rekruttere flere professionsbachelorer og flere betalingsstuderende fra ikke-EØS-lande, samt indsats for at øge optaget på ikke dimensionerede fag.
- Indsats for at udvikle masteruddannelsesområdet, også for at styrke synligheden regionalt og nationalt.
- Eksterne bevillinger skal bidrage til finansiering af forskningstid og forskningsunderstøttelse.
- Forbedring af indtjening: 5 mio.

I en situation med faldende bevillinger til universitetssektoren og til de primære kilder for ekstern forskningsfinansiering, skal RUC arbejde for at fastholde indtægtsniveauet, herunder færdiggørelsesbonus, og helst skabe nye indtjeningsmuligheder. Dette kræver et stort ledelsesfokus.

RUC skal gøre en indsats for at mindske frafald på kandidatuddannelserne samt gøre det lettere at komme ind for bachelorer udefra (kommunikation, markedsføring, struktur, optagelseskrav og vejledning). RUC skal gøre en indsats for at rekruttere flere professionsbachelorer og flere betalingsstuderende fra ikke-EØS-lande, og endelig udvikle masteruddannelsesområdet, også for at styrke synligheden regionalt og nationalt.

Det økonomiske mål er en forbedring af indtjeningen på 5 mio.kr. i 2019. Indtægterne er i flerårsbudgettet 2017-2019 estimeret til 705,7 mio.kr. i 2019, så målet er alt andet lige 710,7 mio.kr. i 2019. Det foreslå indfaset med 50% i 2017, 70% i 2018, og 100% i 2019. Investeringerne i at fastholde indtægtsniveauet og tilmed forbedre dette findes via et ledelsesmæssigt fokus samt prioritering indenfor de givne økonomiske rammer.

For at arbejde med indtægterne er der i første omgang brug for, at oversætte de mål der er nævnt i universitetsledelsen indstilling, og gengivet ovenfor, så de kan indgå i den overordnede ledelsesmæssige drøftelse og de enkelte institutters løbende økonomistyring/opfølgning/rapportering.

Det næste er en vurdering af potentialer, således at indtægtsmålet konkretiseres for de enkelte institutter, i lyset af en vurdering af potentialer.

Organisering: UI og FIT. Koordination og dialog med alle sekretariatsledere.

3. Status

En opgørelse af RUC's indtægter på master (markedsandel) ifht. de andre universiteter er under udarbejdes som led i bestyrelsens drøftelse af masterområdet.

4. Tidsplan/etaper

UI og FIT håndterer dette i første omgang med inddragelse af sekretariatslederne mhp. en UL-drøftelse af indikatorer m.m.

Indtægtsmålsætningerne vil i givet fald skulle indarbejdes fra 2017 budgettet og frem, så første deadline er umiddelbart efter sommerferien 2016.

5. Risikovurdering

Der er en risiko for at indtægtsforbedringer ikke realiseres som følge af faldende bevillinger etc. og en øget konkurrence i sektoren.

Endvidere kan det være en udfordring hvis ingen føler ejerskab på at realisere denne forbedring.

Der bør være en plan for hvordan omkostningerne så reduceres i stedet, hvis indtægterne ikke realiseres.

Mere generelt rummer indtægterne på universitet også den risiko, at der arbejdes med en ny tilskudsmodel, som givet vis vil påvirke den måde universitetet får indtægter.

6. Kommunikationsbudskaber

Det er universitetets målsætning at øge aktiviteterne indenfor efter-/videreuddannelsesområdet og sikre et mindre frafald på uddannelserne og bl.a. øget optag på kandidatuddannelserne. Der er derfor sat et indtægtsmål for disse områder samlet set.

Pkt. 11 Ph.d. området

1. Indstilling til bestyrelsen

Det indstilles, at

- der på ph.d. området er et sparemål på 5 mio.kr.
- 100 % af besparelsen skal findes fra 2017-2019.

Sparemål: 5 mio. dkk.

2. Beskrivelse og uddybning af opgaven med angivelse af forankring og sparemål

UL's forslag:

- Reducere de samlede udgifter til ph.d. området fra 40 til 35 mio. kr. fra 2017.

Som led i de generelle besparelser på universitetet vælges også at reducere budgettet på ph.d. området. RUC skal stadig satse stærkt på ph.d.'ere, men indsatsen skal justeres lidt ned i lyset af de reducerede økonomiske rammer.

Sparemålet på 5 mio.kr. forslås indfasat med 100% fra 2017 og frem.

Organisering: FIT-budget og RK.

3. Status

Der er en indledende dialog mellem rektorsekretariatet og FIT/budget mhp. at kunne udfolde nye rammer for 2017 i lyset af budgetreduktionen og den nye model for økonomistyring af Ph.d. området.

4. Tidsplan/etaper

Rammerne reduceres allerede nu ift. drøftelserne med institutterne i lyset af den nye økonomiske styringsmodel for ph.d. området. Realiseringen af sparemålet kræver ikke investeringer.

Der vil skulle være en løbende opfølgning på opnåede besparelser på ph.d. området (afløb etc.).

5. Risikovurdering

Risiko hvis det ikke er muligt at reducere ph.d. omkostningerne pga. institutternes disponeringer.

6. Kommunikationsbudskaber

Budgetændringen på Ph.d. området skal ses i lyset af de generelle besparelser der gennemføres på universitetet. Med et årligt budget på 35 mio.kr. vil ph.d. området stadig være en vigtig strategisk forskningsmæssig satsning.

Pkt. 4 Beslutning om ny ph.d.-organisering

Sagsfremstilling

Som følge af institutreformen, har RUC per. 1. januar 2016 syv ph.d.-skoler, fordelt på de fire nye institutter, efter en midlertidig model. I januar 2016 blev der igangsat en proces, som skulle lede til en rektorsbeslutning vedr. en ny ph.d.-organisering på RUC. Ph.d.-miljøerne har været inddraget på forskellige niveauer i processen, og Roskilde Doctoral Schools' (RDS) har udarbejdet en indstilling til ny ph.d.-organisering, som har været drøftet i den samlede universitetsledelse (UL). På baggrund af RDS' indstilling og den forudgående proces har rektoratet udarbejdet en indstilling til bestyrelsen vedr. ny ph.d.-organisering, som skal drøftes på bestyrelsesmødet d. 9. juni 2016.

Ph.d.-organiseringen på RUC skal forstås på to niveauer:

- 1) den organisatoriske ledelse af ph.d.-uddannelsen i form af ph.d.-skoler
- 2) den faglige organisering og ledelse af ph.d.-uddannelsen i form af forskeruddannelsesprogrammer

Rektoratets indstilling til bestyrelsen forholder sig primært til det første niveau af ph.d.-organiseringen; den organisatoriske ledelse af ph.d.-uddannelsen. Rektoratet indstiller til bestyrelsen, at der oprettes 4 ph.d.-skoler på RUC, én ph.d.-skole per institut med ikrafttrædelse 1. september 2016. Rektoratet indstiller ligeledes, at der efter oprettelsen af 4 ph.d.-skoler igangsættes en særskilt proces på ph.d.-skolerne. Denne proces skal lede til, at hver ph.d.-skole etablerer det nødvendige antal forskeruddannelsesprogrammer, som afspejler den *overordnede* faglige struktur. Rektoratet forventer, at en reduktion af antallet af ph.d.-skoler vil bidrage til en forenkling af den samlede ph.d.-administration.

Indstilling

Rektoratet indstiller

- 1) at der i alt oprettes 4 ph.d.-skoler på RUC, én ph.d.-skole per institut, og at der nedsættes dertilhørende 4 ph.d.-udvalg. Ph.d.-skolen udgør den organisatoriske ledelse af ph.d.-uddannelsen.
- 2) at der efter oprettelsen af 4 ph.d.-skoler igangsættes en særskilt proces på ph.d.-skolerne. Denne proces skal lede til, at hver ph.d.-skole etablerer det nødvendige antal forskeruddannelsesprogrammer, som afspejler den *overordnede* faglige struktur.
- 3) at der ved ph.d.-skolernes etablering af forskeruddannelsesprogrammer bliver udarbejdet tydelige rolle- og kompetencebeskrivelser
- 4) at den fælles forskeruddannelsesenhed Roskilde Doctoral Schools fastholdes, men at der arbejdes videre med en model til sikring af en bredere diskussion og inddragelse af forskeruddannelsesprogramlederne.

Bilag

- 1) Rektoratets indstilling til bestyrelsen vedr. ny ph.d.-organisering

- 2) Tal for ph.d.-området
- 3) Ph.d.-organisering og fordeling af ph.d.-funktioner på RUC

Rektoratets indstilling til bestyrelsen vedr. ny ph.d.-organisering

Baggrund

Som følge af institutreformen, har RUC per. 1. januar 2016 syv ph.d.-skoler, fordelt på de fire nye institutter, efter en midlertidig model. I januar 2016 blev der igangsat en proces, som skulle lede til en rektoratsbeslutning vedr. en ny ph.d.-organisering på RUC. Ph.d.-miljøerne har været inddraget på forskellige niveauer i processen, og Roskilde Doctoral Schools (RDS) har udarbejdet en indstilling til ny ph.d.-organisering, som har været drøftet i den samlede universitetsledelse (UL). Ligeledes har relevant materiale udarbejdet i 2012 i forbindelse med Strategi 2015 været inddraget i processen. RDS har indstillet til rektoratet, at der etableres 4 ph.d.-skoler på RUC, én ph.d.-skole per institut. På baggrund af RDS' indstilling og den forudgående proces har rektoratet udarbejdet nedenstående indstilling til bestyrelsen.

Ph.d.-organiseringen på RUC skal forstås på to niveauer:

- 1) den organisatoriske ledelse af ph.d.-uddannelsen i form af ph.d.-skoler
- 2) den faglige organisering og ledelse af ph.d.-uddannelsen i form af forskeruddannelsesprogrammer

Rektoratets indstilling til bestyrelsen forholder sig primært til det første niveau af ph.d.-organiseringen; den organisatoriske ledelse af ph.d.-uddannelsen. Rektoratet indstiller, at der oprettes 4 ph.d.-skoler på RUC, én ph.d.-skole per institut med ikrafttrædelse 1. september 2016. Rektoratet indstiller ligeledes, at der efter oprettelsen af 4 ph.d.-skoler igangsættes en særskilt proces på ph.d.-skolerne. Denne proces skal lede til, at hver ph.d.-skole etablerer det nødvendige antal forskeruddannelsesprogrammer, som afspejler den *overordnede* faglige struktur.

Det skal bemærkes, at rektoratet forventer, at en reduktion af antallet af ph.d.-skoler vil bidrage til en forenkling af den samlede ph.d.-administration.

Nuværende organisering

RUC's ph.d.-uddannelse er organiseret i syv ph.d.-skoler, der hver især ledes af en ph.d.-skoleleder og et ph.d.-udvalg. Med hjemmel i RUC's vedtægt (kap. 11, § 43) er der etableret en fælles forskeruddannelsesenhed, Roskilde Doctoral Schools (RDS) som ledes af prorektor. RDS består af en styregruppe, hvor de syv ph.d.-skoleledere og prorektor jævnligt mødes. RUC har per 1. januar 2016 fire institutter, som er flerfaglige i deres sammensætning og enkelte går desuden på tværs af traditionelle hovedområder.

RUC har per 1. januar 2016 følgende ph.d.-skoler:

Den naturvidenskabelige ph.d.-skole	Institut for Naturvidenskab og Miljø (INM)
Graduate School of Environmental Stress Studies	Institut for Naturvidenskab og Miljø (INM)
Ph.d.-skolen for Kommunikation, Journalistik og Performance-design	Institut for Kommunikation og Humanistisk Videnskab (IKH)
Ph.d.-skolen Kultur, Sprog og Filosofi	Institut for Kommunikation og Humanistisk

	Videnskab (IKH)
Ph.d.-skolen for Livslang Læring og Hverdagslivets Socialpsykologi	Institut for Mennesker og Teknologi (IMT)
Ph.d.-skolen for Samfund, Rum og Teknologi	Institut for Mennesker og Teknologi (IMT)
Ph.d.-skolen ved Institut for Samfundsvidenskab & Erhverv	Institut for Samfundsvidenskab og Erhverv (ISE)

Ph.d.-skolernes faglige underenheder er enten etableret som forskeruddannelsesprogrammer eller man har valgt at lave en faglig tilknytning til institutternes forskningsgrupper.

Ph.d.-optag

Den nationale ph.d.-satsning¹, der havde til hensigt at fordoble det årlige optag ved de danske universiteter i perioden 2005-2010 var primært rettet mod natur-, sundheds- og teknisk videnskab og således også de finansieringsmuligheder, der blev etableret. Af denne grund er udviklingen i optaget på RUC mindre end den fordobling, som er sket nationalt. Der er dog sket en forøgelse i optaget over årene, som toppede i 2012 med et ph.d.-optag på i alt 80 ph.d.-studerende. Ph.d.-optaget i perioden 2012-2014 har været faldende fra 80 ph.d.-studerende i 2012 til et ph.d.-optag på 65 ph.d.-studerende i 2014. Som følge af det tidligere øgede ph.d.-optag var RUC nødsaget til at foretage en markant justering af ph.d.-budgettet for 2015, hvilket resulterede i et meget lavt optag på i alt 23 ph.d.-studerende.

Som led i de generelle besparelser på universitetet vælges at reducere budgettet på ph.d.-området. RUC skal spare 5 mio. kr. på ph.d.-området i perioden 2017-2019, hvilket er en reduktion af de samlede udgifter til ph.d.-området fra 40-35 mio. kr. RUC vil fortsat strategisk prioritere ph.d.-uddannelsen, men indsatsen justeres, set i lyset af de samlede reducerede økonomiske rammer².

RUC's fremtidige forventede ph.d.-optag på ca. 45 ph.d.-studerende årligt skal ses i lyset af de økonomiske besparelser samtidigt med, at der fortsat er et stort fokus på kvaliteten af uddannelsen.

Sagsfremstilling

I lyset af det fremadrettede forventede lavere ph.d.-optag, foreslår rektoratet, at der oprettes 4 ph.d.-skoler, én ph.d.-skole per institut, og at der nedsættes dertilhørende 4 ph.d.-udvalg. Ph.d.-skolen skal fremover udgøre den organisatoriske ledelse af ph.d.-uddannelsen, og institutrammen vil dermed blive en væsentlig identitetsgivende markør for ph.d.-organiseringen.

De 4 ph.d.-skoler vil dække over flere fagområder, og enkelte vil dække over flere hovedområder. Fagkompetencen til håndtering af en række opgaver kan dermed ikke hensigtsmæssigt ligge hos ph.d.-skolelederen alene. Det foreslås derfor, at der etableres det nødvendige antal forskeruddannelsesprogrammer, som afspejler den *overordnede* faglige struktur på ph.d.-skolen. Forskeruddannelsesprogrammet skal udgøre den faglige ledelse, med henblik på at skabe dybde og kvalitet i uddannelsen.

¹ Læs mere: <http://www.dkuni.dk/Politik/~media/Files/Publikationer/Ph%20d%20-publikation%20170113%20P.ashx>

² Handlingsplan punkt 11. s. 45: <https://www.ruc.dk/fileadmin/secure/rektoratetsnyhedsbrev/Indstilling.pdf>

Oprettelse af ph.d.-skolen som organisatorisk ramme for ph.d.-uddannelsen, vil potentielt set kunne skabe en bedre sammenhæng i ph.d.-uddannelsen for den ph.d.-studerende, og udjævne de forskellige vilkår de ph.d.-studerende møder i fagmiljøerne. Ligeledes forventes det, at der vil kunne arbejdes samlet og systematisk med kvalitetsudvikling, og at der vil kunne sikres en volumen, som giver mulighed for et højt aktivitetsniveau.

På trods af en adskillelse af den organisatoriske ledelse i form af ph.d.-skolerne, og den faglige ledelse i form af forskeruddannelsesprogrammerne, er det vigtigt, at der på ph.d.-skolen skabes en tydelig samlet ledelse af ph.d.-uddannelsen – et ph.d.-ledelsesteam. Ph.d.-ledelsesteamet vil således bestå af program- og ph.d.-skolelederen. Forudsætningen for en velfungerende ledelse af ph.d.-uddannelsen er dermed et velfungerende samarbejde mellem program- og ph.d.-skolelederen. Den foreslåede struktur forudsætter ligeledes et tæt samarbejde mellem ph.d.-ledelsesteamet og institutlederen, som i fællesskab vil skulle sikre sammenhæng mellem ph.d.-skolens ph.d.-strategi og instituttets målsætninger, herunder forskningsstrategi. Det vil være vigtigt, at der i den nye struktur defineres tydelige rolle- og kompetencebeskrivelser, men at det samtidigt sikres, at det enkelte ph.d.-ledelsesteam, i samarbejde med institutlederen, kan definere den mest hensigtsmæssige arbejdsfordeling.

Rektoratet bemærker, at processen vedr. definition af rolle- og kompetencebeskrivelser skal ses i tilknytning til processen for nedsættelse af forskeruddannelsesprogrammer.

Ved etableringen af én ph.d.-skole per institut er der en række opmærksomhedspunkter, som bør tages i betragtning. Ved oprettelsen af 4 ph.d.-skoler, og et dertilhørende antal forskeruddannelsesprogrammer, risikeres det at skabe et yderligere mellemlid for beslutninger, hvilket kan anses som usmidigt ift. den daglige drift af ph.d.-skolen. I den sammenhæng er det vigtigt at understrege, at forudsætningen for en vellykket struktur forudsætter, at der som nævnt ovenfor, etableres et konstruktivt samarbejde omkring den daglige drift af ph.d.-skolen. Derudover kan der potentielt set opstå en række udfordringer ved at én ph.d.-skole dækker over flere hovedområder, hvilket vil være tilfældet særligt på Institut for Mennesker og Teknologi (IMT). I den sammenhæng vil det være væsentligt at inddrage de positive og konkrete erfaringer fra den tidligere ph.d.-skole på CBIT, som dækkede tre hovedområder, organiseret i 3 forskeruddannelsesprogrammer.

Det foreslås at fastholde Roskilde Doctoral Schools som en koordinerende enhed for ph.d.-uddannelsen på RUC med ph.d.-skolelederne som styregruppemedlemmer. Det foreslås samtidigt, at der arbejdes videre med en model, som sikrer en bredere diskussion og inddragelse af forskeruddannelsesprogramlederne.

Indstilling

Rektoratet indstiller

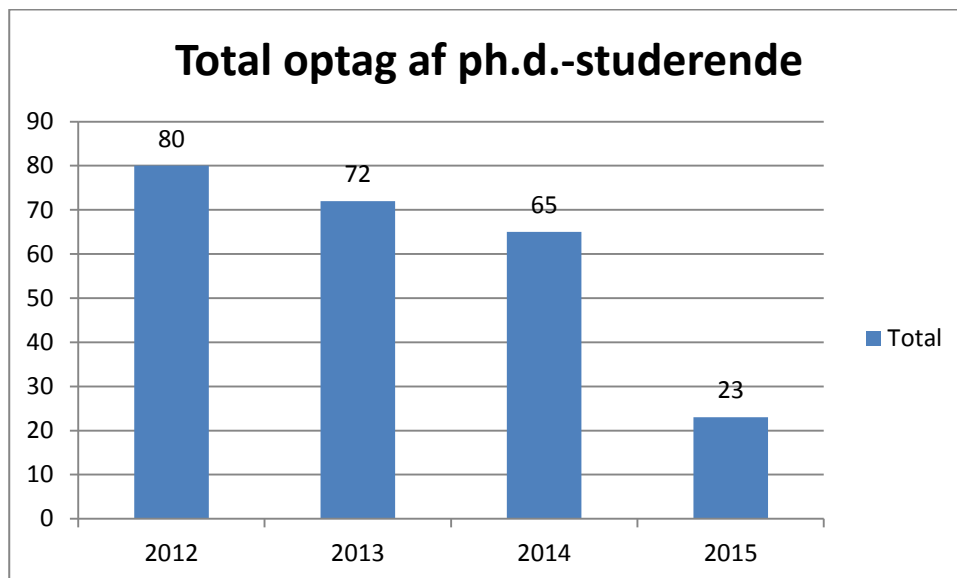
- 1) at der i alt oprettes 4 ph.d.-skoler på RUC, én ph.d.-skole per institut, og at der nedsættes dertilhørende 4 ph.d.-udvalg. Ph.d.-skolen udgør den organisatoriske ledelse af ph.d.-uddannelsen.
- 2) at der efter oprettelsen af 4 ph.d.-skoler igangsættes en særskilt proces på ph.d.-skolerne. Denne proces skal lede til, at hver ph.d.-skole etablerer det nødvendige antal forskeruddannelsesprogrammer, som afspejler den *overordnede* faglige struktur.
- 3) at der ved ph.d.-skolernes etablering af forskeruddannelsesprogrammer bliver udarbejdet tydelige rolle- og kompetencebeskrivelser
- 4) at den fælles forskeruddannelsesenhed Roskilde Doctoral Schools fastholdes, men at der arbejdes videre med en model til sikring af en bredere diskussion og inddragelse af forskeruddannelsesprogramlederne.

Bilag

- 1) Tal for ph.d.-området
 - 2) Ph.d.-organisering og fordeling af ph.d.-funktioner på RUC
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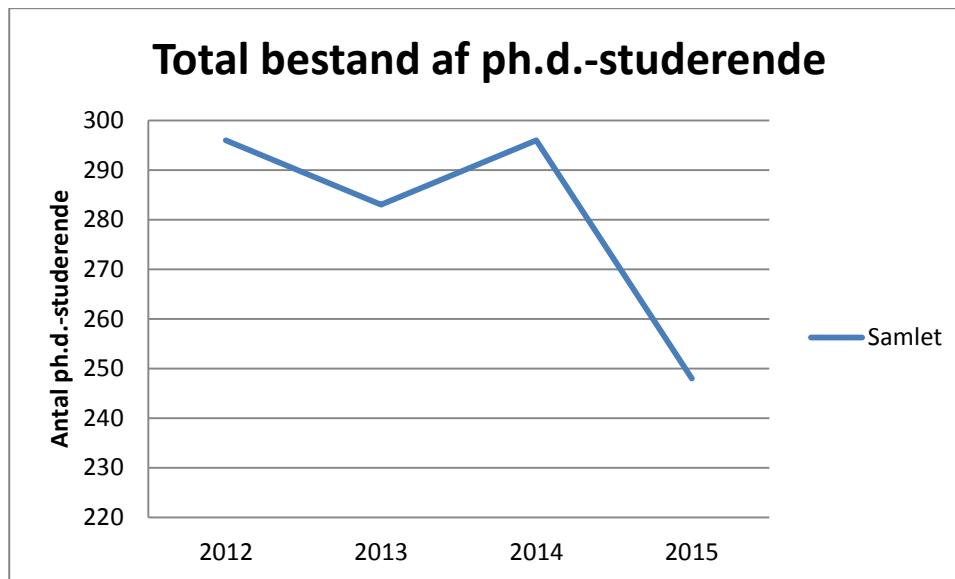
Tal for ph.d.-området

Ph.d.-optag

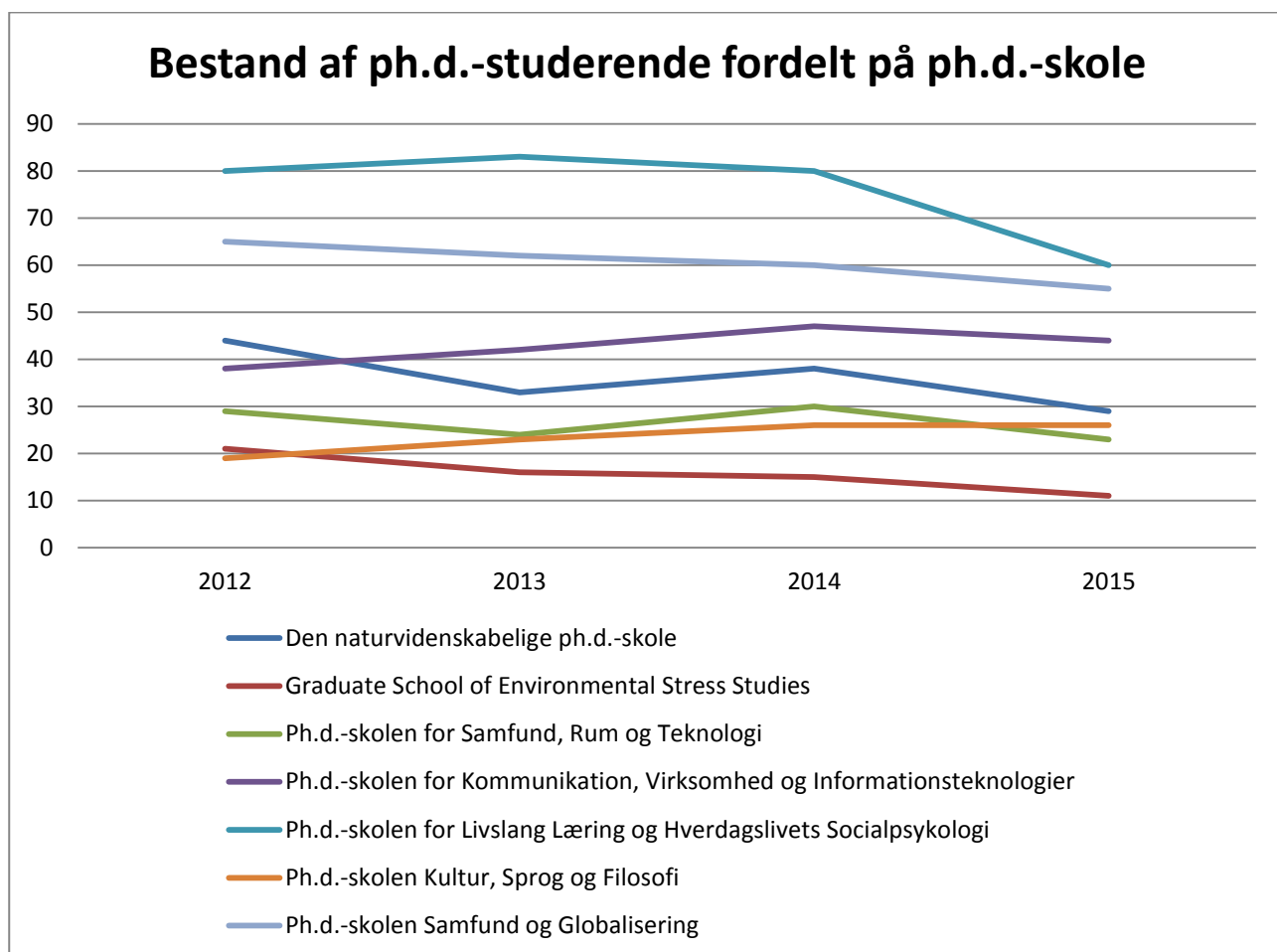


RUC's totale ph.d.-optag i perioden 2012-2015.

Ph.d.-bestand



RUC's totale bestand af ph.d.-studerende i perioden 2012 – 2015 inkl. ph.d.-studerende registeret som værende på orlov, sygdom og barsel.



RUC's bestand af ph.d.-studerende i perioden 2012-2015 fordelt på de syv ph.d.-skoler

Ph.d.-organisering og fordeling af ph.d.-funktioner på RUC

Indledning

RUC har p.t. syv ph.d.-skoler lokaliseret på seks institutter. Ved institutreformen overføres seks ph.d.-skoler samlet, mens den syvende deles op på tre af de fire nye institutter. Alle institutter kommer til at rumme elementer af mere end én ph.d.-skole, og det er derfor besluttet at reorganisere RUC's ph.d.-område med virkning fra 1. juli 2016.

Nedenfor beskrives den nuværende organisering med en afsluttende perspektivering til andre mulige former for organisering.

Overordnet opgavefordeling

På det faglige plan er der følgende hovedaktører i RUC's ph.d.-uddannelse: Prorektor og rektorat, ph.d.-udvalg, ph.d.-skoleledere, forskeruddannelsesprogramledere, forskningsgruppeledere og ph.d.-vejledere. Hertil kommer styregruppen for Roskilde Doctoral Schools (RDS). AR tildeler graden.

På det administrative plan står institutledere, sekretariatsledere, ph.d.-administratorer samt lokale økonomi- og HR-medarbejdere for institutternes understøttelse af ph.d.-uddannelsen, mens det centrale ph.d.-team, Koncernjura, HR og FIT løser centrale administrative opgaver.

Prorektor og rektorat

Rektor har uddelegeret sin kompetence på ph.d.-området til prorektor. Prorektor har det overordnede strategiske, faglige og kvalitetsmæssige ansvar for forskeruddannelserne. Prorektor udpeger og afsætter ph.d.-skoleledere.

Rektoratet har det overordnede økonomiske ansvar for ph.d.-området og melder hvert år en ph.d.-bevilling ud til det enkelte institut.

Prorektor skal overordnet arbejde med den samlede ramme for ph.d.-uddannelsen, ekstern repræsentation, talentudvikling, strategi og internationalisering.

Ph.d.-udvalg

RUC har nedsat et ph.d.-udvalg for hver ph.d.-skole. Ph.d.-udvalgene skal sikre de studerendes og VIP'ernes indflydelse på ph.d.-uddannelsen og har til opgave at:

- Indstille en formand blandt udvalgets VIP'er og eventuelt en næstformand blandt udvalgets ph.d.-studerende
- Indstille om sammensætning af bedømmelsesudvalg til rektor
- Godkende ph.d.-kurser
- Udarbejde forslag til interne retningslinjer, herunder ph.d.-vejledning, til ph.d.-skoleleder
- Udtale sig om evaluering af ph.d.-uddannelse og vejledning, herunder internationale evalueringer af ph.d.-uddannelsen, til ph.d.-skoleleder
- Godkende ansøgninger om merit, herunder forhåndsmerit, og dispensation

- Udtale sig om alle sager af betydning for ph.d.-uddannelse og -vejledning, som rektor forelægger

Ph.d.-skoleleder

Ph.d.-skoleleder skal ifølge RUC's vedtægt have faglig og ledelsesmæssig legitimitet, være anerkendt forsker og have erfaring med og indsigt i ph.d.-uddannelse.

Ph.d.-skoleleder har ansvar for rekruttering, faglig kvalitet, det samlede uddannelsesforløb og internationalisering af den enkelte forskerskole.

Ph.d.-skoleleder indgår i det tværgående samarbejde på RUC i forhold til forskeruddannelse via medlemskab af styregruppen for Roskilde Doctoral Schools. Ph.d.-skoleleder bidrager til det strategiske samarbejde på nationalt og internationalt niveau i samarbejde med prorektor.

Ph.d.-skoleleder er ansvarlig for den daglige faglige drift af ph.d.-skolen og skal:

- Forestå procedure ved opslag af ph.d.-stipendier, herunder udarbejdelse af opslag, og udpegning af bedømmere
- Forestå faglig godkendelse ved indskrivning af ph.d.-studerende
- Udpege ph.d.-hovedvejledere
- Forestå planlægningen af skolens uddannelse, herunder internationale ophold
- Forestå inddragelse af ph.d.-udvalget i planlægning, udvikling, kvalitetssikring og evaluering af ph.d.-uddannelsen
- Forestå afrapportering om skolens aktiviteter i de årlige ph.d.-skolelederrapporter til RDS
- Forestå kvalitetsudvikling i forlængelse af ph.d.-skolelederrapporterne og den internationale evaluering af RUC's ph.d.-uddannelsers
- Fastsætte interne retningslinjer og regler for ph.d.-skolen, herunder gennemførelse af ph.d.-uddannelse og vejledning, efter forslag fra ph.d.-udvalg

Forskeruddannelsesprogramleder

Forskeruddannelsesprogrammerne danner rammen om de faglige aktiviteter i ph.d.-skolerne og tager initiativ til at definere nye ph.d.-projekter. Forskeruddannelsesprogramleder varetager den daglige drift af programmet, herunder opfølgning på de studerendes forløb, faglige tilbud og internationalisering.

Det er dog ikke alle RUC's ph.d.-skoler, der har forskeruddannelsesprogrammer.

Følgende specifikke opgaver forventes løst af forskeruddannelsesprogrammet:

- Rekruttering inden for det faglige område
 - Indmelding af forskeruddannelsesprogramrelevante kurser
 - Sikring af fagligt miljø og netværk
 - Bidrage til organisering af ph.d.-dage og lignende
-

Hovedvejleder

Hovedvejleder skal være anerkendt forsker, der i en årrække på videnskabeligt plan aktivt har beskæftiget sig med forskning, og som er på mindst lektor- eller seniorforsknerniveau og tilknyttet instituttet.

Hovedvejleder har ansvar for den ph.d.-studerendes samlede uddannelse, herunder projektvejledning og ph.d.-studieplan, understøttelse af formidlingsaktiviteter, karriererådgivning, understøttelse af mobilitet/miljøskifte og ansvarlig forskningspraksis.

Derudover skal hovedvejleder strategisk bidrage til udvikling af forskeruddannelsen generelt, herunder rekruttering, forskeruddannelsens elementer og internationalisering.

Akademisk Råd (AR)

AR tildeler ph.d.-graden ifølge indstilling fra bedømmelsesudvalgene.

Roskilde Doctoral Schools (RDS)

RDS er paraply for RUC's ph.d.-skoler og består af prorektor samt en styregruppe. RDS har til opgave at forestå den overordnede koordinering, markedsføring og kvalitetsudvikling af RUC's ph.d.-uddannelser.

Institutleder

Institutleder forestår dialog med rektoratet vedrørende ph.d.-ressourcer og har beslutningskompetencen vedrørende anvendelsen af de tildelte ressourcer. Institutleder skal sikre, at ressourceanvendelsen sker med henblik på størst mulig faglig kvalitet, og skal rådføre sig med ph.d.-skoleleder i faglige spørgsmål.

Institutleder har det personaleledelsesmæssige ansvar for ph.d.-skoleleder, forskeruddannelsesprogramledere, vejledere og ansatte ph.d.-studerende. Institutleder har ligeledes ansvar for ikke-ansatte ph.d.-studerende i forhold til tildeling af ressourcer m.m. Institutleder tildeler de fornødne tidsmæssige og administrative ressourcer til de ansatte, som deltager i ph.d.-skolens arbejde.

Sekretariatsleder

Sekretariatsleder har det daglige administrative ansvar for ph.d.-skolen med reference til institutleder, herunder budgettering, økonomi og resourceallokering.

Øvrig decentral ph.d.-administration

Ph.d.-administrator står for de daglige administrative opgaver i forbindelse med ph.d.-uddannelsen, herunder registrering i PhD Manager, i samarbejde med instituttets økonomi- og HR-medarbejdere.

Central ph.d.-administration

Det centrale ph.d.-team tager sig af kontrol (indskrivninger), koordinering og tværgående aktiviteter (introduktions- og karriereseminarer, ph.d.-administratornetværk) samt kvalitetsudvikling af ph.d.-uddannelsen (sekretariatsfunktion for RDS).

Koncernjura tager sig af legalitetskontrol af ph.d.-kontrakter (samfinansieringsaftaler samt aftaler om double og joint degrees).

HR står for ph.d.-ansættelser, mens FIT står for central budget- og regnskabsfunktion.

Pkt. 5 Orientering fra bestyrelsesformanden

Pkt. 6 Orientering fra rektoratet

1. Status for institutionsakkreditering af RUC

Bestyrelsesformanden nikkede på møde med rektoratet 24. maj til indstilling til universitetsledelsen om udsættelse af institutionsakkreditering til 2018. Universitetsledelsen tilsluttede sig indstillingen på møde 26. maj.

Baggrunden er, at den kortlægning af arbejdet med uddannelseskvalitet og kvalitetssikring, som vi havde igangsat på RUC, nu er afsluttet. Målet var at få overblik over det samlede arbejde og identificere opmærksomhedspunkter for det fremadrettede arbejde, samt tage stilling til om RUC skal ønske at blive institutionsakkrediteret i 2017 eller 2018. Kortlægningen afspejler både gode takter og en række opmærksomhedspunkter, og den peger helt overordnet på, at det vil være mest forsvarligt at udskyde institutionsakkrediteringen til 2018. Vi har derfor indsendt ønske til Akkrediteringsinstitutionen om, at RUC institutionsakkrediteres i 2018 frem for at fastholde anmodning om 2017. Endelig plan for institutionsakkreditering vil efter en høringsfase blive offentliggjort den 3. oktober 2016.

2. Evaluering af satsningsområderne

RUC besluttede i 2012 at støtte fire forskningssatsningsområder, *Environmental Risk*; *Designing Human Technologies*; *Global Dynamics*; *Power, Media and Communication*, for en treårig periode. Finansieringen af de fire områder udløber 1. juli 2016.

Prorektor har iværksat en evaluering af satsningsområderne, dels for at kortlægge de foreløbige resultater af indsatsen, dels for at skabe et afsæt for beslutning om satsningsområdernes fremtid efter d. 1. juli. Samtidig kan evalueringen også indsamle erfaringer i forhold til det videre arbejde med RUC's forskningsstrategi.

I forbindelse med evalueringen udarbejdede de fire satsningsområder selvevalueringsrapporter, som blev afsluttet i februar. I starten af april besøgte et internationalt evalueringspanel RUC og mødtes med forskere fra de fire satsningsområder. Efterfølgende har hver evaluator skrevet en rapport om det område, vedkommende havde hovedansvaret for.

Der er nu udarbejdet en samlet evalueringsrapport, som den 25. maj 2016 er blevet forelagt Akademisk Råd, og som herved forelægges for bestyrelsen.

Rapporten består af en sammenfatning, et baggrundsafsnit, samt selvevalueringsrapporter, eksterne evalueringsrapporter og responser fra de fire ledere af satsningsområderne.

Der blev i forbindelse med selvevalueringsprocessen produceret et omfattende bilagsmateriale, som de enkelte rapporter refererer til. Dette materiale vil blive lagt på www.ruc.dk i forlængelse af bestyrelsesdrøftelsen. Det gælder også for supplerende bilag indsendt af den eksterne evaluator af Global Dynamics.

Evalueringsrapporten, *Strategic Research Initiatives at Roskilde University 2013-2016. Evaluation*, er vedlagt som bilag 16 til punkt 6.

3. Prognose 1 2016

Vedlagt som bilag 17 til punkt 6.

Strategic Research Initiatives at Roskilde University 2013-2016

Evaluation

May 2016

Preface

RUC's four Strategic Research Initiatives [Forskningssatsningsområder] constitute a significant long-term investment in research. Since 2013, RUC has invested more than 15 million DKK in four promising interdisciplinary research fields. The Strategic Research Initiatives have now been evaluated with the help of a team of distinguished international researchers.

While it may be premature to conclude as to whether our goals have been attained, it is important to take stock of what has in fact been achieved over a very intensive three-year period by four groups of highly dedicated researchers. We need to see if they – and we – are on the right track and what lessons can be learned from the process.

Given that the official funding of the initiatives will expire this summer, it is critical that we decide where to go from here: How do we ensure that promising projects, collaborations and institutions live on and shape RUC's research profile in years to come?

On the following pages, you will find the full evaluation report. It contains a description of the evaluation and its context; self-evaluation reports submitted by each Strategic Research Initiative; and the reports submitted by our international reviewers.

I wish to express my gratitude to Alan Irwin, Robert Winter, Staffan Lindberg and Jonas Gunnarsson for taking on the task of evaluating the Strategic Research Initiatives; to the four leaders of the initiatives Bente Halkier, Jesper Simonsen, Laurids Lauridsen and Gary Banta for preparing the materials for evaluation and for organizing the site visit; and to research consultant Eva Jensen for organizing the evaluation process over the last four months.

Peter Kjær, Pro-rector

1. Executive Summary

The strategic research initiatives

In 2010, RUC launched its new 'Strategy 2015'. An important ambition of the strategy was to profile RUC's research and to make its strengths more visible to the world outside.

To implement the strategy RUC decided to invest strategically in the strengthening of research in selected interdisciplinary research areas by designating four strategic research initiatives ('satsningsområder'¹):

- 'Environmental Risk'
- 'Designing Human Technologies'
- 'Global Dynamics'
- 'Power, Media and Communication'

The focus on the strategic research initiatives built on an ambition to boost RUC's research by investing in research environments with a strong potential for development which could evolve into future positions of strength within and across departments.

The Rectorship earmarked DKK 3 million for each strategic research initiative for a 3-year period (2013-15). In addition to this, the departments were requested to supply a co-funding of DKK 1.5 million for each strategic research initiative.

During the project period the progress of the initiatives has been monitored and discussed on a regular basis. In 2015, the Rectorship decided to supplement the internal monitoring with an international evaluation of the initiatives.

The international evaluation

The aim of the international evaluation has been to identify and reflect upon the preliminary outcomes of RUC's four strategic research initiatives. The evaluation should help the Rectorship decide on the future of the initiatives and on RUC's further efforts to support emerging areas of research strength.

The external review was carried out by four distinguished international researchers:

- Professor Alan Irwin, Copenhagen Business School (Power, Media and Communication)
- Professor Robert Winter, University of St. Gallen (Designing Human Technologies)
- Professor Staffan Lindberg, Lund University (Global Dynamics)
- Professor Jonas Gunnarsson, Stockholm University (Environmental Risk)

While addressing original targets and milestones for the initiatives, the evaluators were also asked to focus on outcomes, further potentials and lessons learnt in the process of organizing the initiatives both from the perspective of the individual initiative and from the perspective of the university as a whole.

¹ The Danish term 'satsningsområde' has a dual meaning since "satsning" both means a prioritization and, as noted in one of the self-evaluation reports, to take a risk or to a gamble. In the present context, we have chosen the less evocative translation "strategic research initiative" or SRI which captures some of the prioritization/risk taking, but less elegantly.

Based on self-evaluation reports and a site visit at RUC, the evaluators wrote their individual reports addressing the following themes:

- I. The outcomes and realization of potential of each strategic research initiative
- II. Further observations concerning the strategic research initiatives more generally
- III. Recommendations for future practice: Possibilities/potential for development

The evaluators' comments and recommendations

The following general observations were made by the evaluators during the site visit in April 2016:

- The evaluators expressed great appreciation of the interdisciplinary approach that is characteristic of all initiatives
- The evaluators found that the initiatives had contributed to the development of the research areas, and they were impressed that adding a relatively small amount of money over a relatively short period of time could make such a difference in the research areas
- The evaluators appreciated that the strategic research initiatives could be seen as four distinct ways of addressing particular challenges for research development
- The evaluators found it important that the initiatives could be continued in one way or another, and that the initiatives in the future can dispose of a minimum amount of money covering networking, participating in conferences etc.
- The evaluators underscored that in any case the Rectorship should make decisions on the future of the initiatives as soon as possible.

These initial observations were elaborated by the evaluators with respect to each initiative:

Environmental Risk:

- Considering the relative short time and relative modest funding of the research initiative, i.e. corresponding to an average external project grant, the outcomes achieved within the Environment Risk initiative are truly outstanding.
- The ER group has managed to meet their goals and the strategy adopted by the ER group, in particular the hire of two Assistant Professors and a Post Doc, were judicious.
- This success, however, also highlights the vulnerability of the ER group as a relatively small research environment.

Designing Human Technologies:

- The core activities succeeded substantially in creating internal and external recognition for RUC in a newly developed field.
- DHT was a success in terms of (a) achieving or over-achieving the strategic objectives of the institution, (b) providing value to the participating RUC researchers (an interesting ground for activities outside their disciplinary home), and (c) creating impact for local and external stakeholders and (d) really integrating research and teaching in an innovative, attractive and emerging field – especially in the light of the moderate investment by RUC.
- A dialogue between the leadership of the “best matching” department and the SRI will certainly help both sides to clarify synergy potentials and identifying mutual adjustment needs.

Global Dynamics:

- Global Dynamics is a large, vibrant, relevant and imaginative research environment which has the potential of yielding a rich harvest of new insights into the field of globalisation and international relations.
- Given a strong research environment, relatively limited funding can make a large difference in terms of supporting new and imaginative research projects and programmes. Funding workshops, pilot projects, guest lectures, conferences, etc. for such a large group of researchers yields rich results and should be continued to ensure stability and new creativity.

Power, Media and Communication:

- Overall the impression was that a lot had been gained with relatively few resources, that perhaps-unexpected synergies and collaborations had been achieved, that the quality of research within RUC had been boosted, that an impressive series of databases and empirical materials had been created (representing an important resource for the future), and that both established and emerging scholars had been supported by the Initiative. In all these respects, the Power, Media and Communication initiative has been a noteworthy success.
- It is worth considering the development of a 'Roskilde School of Communication' which builds on the foundation constructed here and raises the national/international profile of this activity at RUC.

Conclusion

At the concluding session of the site visit both external reviewers and initiative leaders underscored the need for decisions regarding the future of the initiatives. The funding for the initiatives will be terminated in the summer 2016, and it is important for all those concerned to know what will come next.

The evaluation does not allow us to conclude, after 3 years, whether the four strategic research initiatives have reached their full potential and have become positions of strength – as was the premise in the original rationale for RUC's investment. Nonetheless, the evaluators unanimously recommend a continuation of the initiatives. It is up to the Rectorship, the Executive University Management (Universitetsledelsen) and the Board of Directors to make the further decisions. While such decision may have to balance the need to address the concerns of the four initiatives with departmental research strategies and a university-wide approach to research strengths (i.e. whether or not to continue the framework that informed the strategic research initiatives), it is important that consider how best to support what has been achieved by the four initiatives since 2013.

2. Background

This chapter provides the background for the evaluation. It first briefly characterizes RUC's research organization. It then describes the "RUC 2015" strategy from 2010 and how the strategic research initiatives were linked to a comprehensive evaluation of RUC's research. Finally, the chapter describes the context in which the four research initiatives operated from 2013 until today.

Research resources and research organization

Research at RUC is funded mainly (70%) by direct grants from the government while 30 % is derived from external funding from public and private sources. RUC has the second-lowest basic research grant among the Danish universities (in relation to turnover). Therefore the university relies heavily on its income from education.

In 2014 RUC had 568 full-time equivalent researchers (including PhD students): 46 Full Professors, 24 'Professors MSO'², 238 Associate Professors and senior researchers, 55 Assistant Professors, 22 postdocs, and 169 PhD students³.

RUC has no faculties in a traditional sense but is organized in a number of relatively large interdisciplinary departments. RUC's research activity is primarily conducted in the departments' approximately 35 research groups. Besides, RUC has a number of cross-departmental research centers.

Until 2016, RUC was organized in six departments⁴:

- CBIT: Department of Communication, Business and Information Technology
- CUID: Department of Culture and Identity
- ENSPAC: Department of Environment and Spatial Change
- NSM: Department of Nature, Systems and Models
- PAES: Department of Psychology and Educational Studies
- ISG: Department of Society and Globalization

Strategy 2015 and the Strategic Research Initiatives

In 2010, RUC launched its first university-wide strategy: 'RUC 2015'. The strategy included several ambitions related to research:

- A clearer research profile that identified positions of research strength
- The formulation of university level research publication strategy
- A reassessment of the existing structure of research groups
- Increase in Ph.D.-production
- A closer connection between research and education

² 'Professors MSO' are temporarily appointed professors

³ RUC's total number of enrolled PhD students in 2014 was 283. The difference is due to the fact that not all enrolled PhD students were appointed in PhD positions.

⁴ The organization was changed by January 1st 2016 and RUC now has four large departments:

- Department of Communication and Arts
- Department of Science and Environment
- Department of Social Sciences and Business
- Department of People and Technology

With respect to the ambition of strengthening the university's research profile the strategy pointed to five concrete actions:

- A comprehensive international research evaluation
- A prioritization of research areas
- A mapping of external networks
- A strengthening of RUC's engagement in (and hosting of) international conferences
- Better research communication

Research evaluation 2011-12

As part of the implementation of the strategy, RUC conducted an international research evaluation in 2011-2012. The evaluation was to provide an overview of RUC's research, identify strengths and weaknesses in research, and lead to the prioritization of RUC's research investments.

A quantitative analysis of RUC's research based on criteria such as volume, research production, funding, PhD education, and research communication concluded that:

- A very large part of RUC's permanently appointed researchers were beyond the age of 50, and Associate Professors constituted the largest faculty group
- The share of externally funded permanent positions was very small while the share of externally funded PhD positions was 30-50 %
- External funding primarily came from public sources
- At the time of evaluation the number of research publications seemed to be stagnating

The quantitative analysis was supplemented with an international evaluation of the research at the six departments. Based on the departments' self-evaluation reports and site visits by six review panels, it was concluded that RUC had examples of excellent research at an international level but that research strengths often relied on single researchers or rather small groups which left key research environments vulnerable to shifts in core faculty etc. In addition to this, the panels recommended following:

- There was a need for better defined conditions for research activities
- Quantitative objectives *can* serve as indicators for research and should be supplemented by performance-based rewards
- Use of organization as an active tool can create a meaningful context for research
- It is both a strength and a weakness that RUC's organization is cross-disciplinary and one needs to work constantly on the identification of research themes and research communities
- RUC's research is conducted in thematically defined research groups, but the processes of defining such groups should be led researcher-driven and not controlled from "above".

Strategic Research Initiatives

As a follow-up on the international evaluation, the departments elaborated action plans regarding their research profiles. Among other things, the departments identified areas of research potential and strength and submitted 13 proposals for "strategic research initiatives". From these 13 proposals the Rectorship selected four strategic research initiatives:

- 'Environmental Risk' (suggested by ENSPAC)
- 'Designing Human Technologies' (suggested by ENSPAC/CBIT)
- 'Global Dynamics' (suggested by ISG)
- 'Power, Media and Communication' (suggested by CBIT)

The selection of the four strategic research initiatives (satsningsområder) was informed by several criteria:

- Connection to the “RUC 2015” strategy and its emphasis on interdisciplinary research and international outlook
- Research production per FTE
- Participation in national and international networks
- Connection to existing or planned educational initiatives
- Size in terms of FTE’s
- Potential for attracting external funding

All four strategic initiatives were seen as promising research fields, they all shared an interdisciplinary approach and they were all rooted in RUC’s special educational tradition and connected to established or new educational initiatives. Importantly, none of the four groups were organized around a single lead researcher but rather comprised promising research groups. The intention was that with the infusion of seed money, the four initiatives would establish themselves as research areas of repute, nationally and internationally, that would be recognized by external stakeholders as being specific for RUC.

The selection of the four strategic research initiatives were sanctioned by the RUC Board in the spring of 2012, and the Board prioritized 3 million DKK annually per initiative over a three-year period. RUC-level funding was premised on additional funding from the involved departments (1.5 million DKK annually per initiative).

An additional 1.5 million DKK were set aside annually for funding of particular activities within a limited number of research areas that did not get SRI-status but were considered to be well-established RUC research areas. These areas were designated as ‘Research Beacons’⁵.

Following the identification of the four strategic research initiatives, the initiatives were asked to provide a plan for the coming three years. The plans included a description of the internal organization and governance of the initiative, a plan for how the funds were to be invested, milestones for research activities and a specification of the expected research output.

All four initiatives had to demonstrate a significant output of research publications, an ability to find external funding, develop Ph.D.-activities, and an ability to institutionalize the initiative as a research group/research teams. These milestones and associated targets both reflected the initial ambitions inherent in the “RUC 2015” strategy and a decision, after the selection of the four initiatives, to include specific targets (on external funding and Ph.D.-recruitment) for the strategic research initiatives in RUC’s Development Contract with the Ministry of Research and Education.

The four strategic research initiatives were given a great deal of autonomy in terms of how they organized their activities and invested the allocated funds⁶, i.e. how they responded to the overall challenge of how to support and sustain research development in terms of building critical mass and sustaining positions of strength.

⁵ A total of five Research Beacons were identified: The Socio-linguistics of Globalization; Criminal Justice Ethics; Glass and Time; Innovation in Service and Experience; Roskilde School of Governance.

⁶ There were two important budgetary constraints, however: RUC’s funding could not be used to co-fund PhD’s (since there was already significant RUC-funds reserved from PhD funding and co-funding) and the SRI’s could not use RUC-funding for buy-outs (i.e. reduced teaching loads).

The profiles of RUC's four strategic research initiatives can, tentatively, be described in terms of a matrix that described how they responded to different points of departure and different organizational challenges⁷:

	<i>Cross-cutting – broad, covering RUC landscape</i>	<i>Project-like (relatively new formed)</i>
<i>Creating synergy from existing elements</i>	a. Global Dynamics	b. Power, Media and Communication
<i>Building critical mass</i>	c. Designing Human Technologies	d. Environmental Risk

a. Creating synergy cross-cutting RUC's departments: Global Dynamics

The Global Dynamics involved on researchers from nearly all of RUC's (then existing) departments and was organized in eight thematic clusters. The critical mass was already there, but the attempt was to create synergy by gathering existing researchers in new constellations.

b. Creating synergy in new-formed projects: Power, Media and Communication

Power, Media and Communication can be seen as an attempt to combine and find synergies between two existing but not closely knit research environments, communication and journalism, within one department (CBIT).

c. Building critical mass in new-formed projects: Environmental Risk

Environmental Risk can be seen as an attempt to build critical mass in a very promising but still rather small research field within one department, particularly through recruiting talented younger researchers.

d. Building critical mass cross-cutting RUC's departments: Designing Human Technologies

Designing Human Technologies can be seen as an attempt to build critical mass and research strength, by combining/uniting researchers from all RUC's departments around a shared research agenda.

Governance and changes in context during the project period

An overall governance structure was set up for the research initiatives:

- A university-wide steering committee, comprising the Rector and the involved Heads of Department
- Advisory committees for each initiative, comprising Danish and international experts
- Internal reference groups for each initiative, comprising key RUC researchers within the field

In addition hereto, the work of the initiatives was followed by RUC's permanent Research Committee (Forskningsudvalget) and the Executive University Management (Universitetsledelsen).

In 2014 the university-wide steering committee was terminated. Instead, the Rector and later the Pro-rector conducted regular meetings with the leaders of the strategic research initiatives based on status reports from each initiative. These meeting focused on activities, milestones and challenges.

⁷ Thanks to Professor Jørgen Ole Bærenholdt, Department of People and Technology, for introducing the matrix

From 2015, with the signing of a new Development Contract with the Ministry of Research and Education, the SRI-reporting to the Developmental Contract was discontinued.

The funding for the four initiatives was maintained as planned for the entire three-year period (2012-15). However, as the start-up phase took longer than originally planned and the initiatives still had substantial funding left over by mid-2015, funding for initiatives was prolonged until summer 2016.

The departments were requested to provide co-funding of DKK 1.5 million DKK for each strategic research initiative. Due to economic difficulties in 2014-15, cash-funding was in some instances substituted by in-kind funding.

RUC decided to change its overall departmental structure in 2015. This decision affected the strategic research initiatives in their final year of operation. The restructuring entailed the creation of new departments and hence a new context for the initiatives by 2016. By 2016 only one of the original six department heads, who engaged in the process of establishing the research initiatives, remained.

The evaluation

In 2015 the Rectorship decided to evaluate the four strategic research initiatives to get a preliminary assessment of what came out of the initial investment, to ascertain what could be learned from the process of organizing collective initiatives to strengthen research, and to provide a basis for a decision as to the future of the four initiatives.

The plan for the evaluation was developed after consultation with the leaders of the four initiatives who commented on evaluation criteria, on the structure of the self-evaluation reports (and background data), and on potential international reviewers.

Due to practical and budgetary constraints, it was decided to appoint only one external evaluator/reviewer per strategic research initiative. However, to allow for comparisons and information sharing, the external evaluators received all self-evaluation reports and were invited, during joint sessions, to consider similarities and differences between the four initiatives.

The self-evaluation reports were completed in early 2016. This allowed the initiative leaders to include data from 2015. In the case of publications, the official BFI-status has not been validated for 2015, but all publication data have been drawn from the university library.

The site visit took place on April 4-5 2016, in Copenhagen and Roskilde. It included a joint introductory meeting with the four evaluators and the four SRI-leaders, meetings in each SRI (organized by the SRI-leaders), a lunch meeting with evaluators and former/present heads of department, and a wrap-up session with all evaluators and SRI-leaders.

The evaluators submitted their reports from mid-April to mid-May. Subsequently, the SRI-leaders were encouraged to submit short comments on the reports, reflecting both on observations and conclusions and on the future of the strategic research initiatives, in light of the evaluation.

3. Evaluation reports

In the following, the evaluation is presented in five sections:

- Shared milestones 2013-2015 (An introductory note)
- Environmental Risk (self-evaluation, external review, reflection by SRI-leader)
- Designing Human Technologies (self-evaluation, external review, reflection by SRI-leader)
- Global Dynamics (self-evaluation, external review, reflection by SRI-leader)
- Power Media and Communication (self-evaluation, external review, reflection by SRI-leader)

The full appendixes referred to in the reports will be available on www.ruc.dk.

Shared milestones 2013-2015

Milestones for the strategic research initiatives involved both shared goals and particular goals formulated by each initiative.

The shared goals emphasized publication output, project development, PhD activities and overall institutionalization of the initiatives. With the inclusion of the initiatives in RUC's Development Contract, quantitative targets were added for external funding and PhD-enrollment.

The following milestones were part of the evaluation:

- *Research publication.* All four initiatives have involved extensive publication activities, both in established peer-reviewed outlets and in other formats. Publication performance varies with the size and composition of the core group. We only have BFI-validated publication data for 2013 and 2014. All research initiatives have met or exceeded their stipulated publication goals.
- *External funding/projects co-funded.* All four initiatives have engaged in external funding activities, and all have met their funding targets. The emphasis on external funding to some extent varies with the strategy of each initiative. It should be noted that a few applications were successful after the completion of the self-evaluation. All four initiatives have focused on providing internal seed-funding for a number of promising projects. In some cases projects have been developed in a coordinated manner, e.g. as shared data collection, whereas other projects have emerged on the basis of initiatives taken by individual participants or clusters.
- *PhD activities/courses.* All initiatives have engaged extensively in developing PhD courses, -seminars and other activities aimed at developing PhD education. Specific targets for PhD enrollment in each initiative (i.e. co-funded PhD's, Business PhD's and guest PhD's) was stipulated in RUC's Development Contract but was dropped in 2015. This both reflected university-wide challenges in co-funding new PhD projects and a decision to focus on more aggregate and university-wide targets in the Contract.
- *Institutionalization of the research groups/teams* within the research initiative. All four initiatives have taken initiatives to develop and institutionalize a number of research groups, clusters or teams. In some cases, the internal structure has been adjusted along the way as some groups or teams have encountered challenges in mobilizing their members. All initiatives have created a shared organizational infrastructure but also indicate that continued official recognition and institutional support will be important for the successful continuation of activities.

Measuring performance in quantitative terms is problematic both because of the relative short time-horizon and because of the networked nature of the initiatives. Comparing the four initiatives in terms of quantitative measures is also problematic given differences in size, composition and strategy of the core groups involved.

While quantitative measures do not allow us to make definite conclusions about the outcome of RUC's investment, it is still worth noting that the initiatives enrolled a core membership of about 135 senior and junior researchers (not counting the many that participated in one or more activities in the context of the initiatives) and managed to raise approximately 55 million DKK worth of external research funding over three years.

In the self-evaluation reports, the strategic research initiatives were requested to report on their performance in terms of the four shared milestones. In addition hereto, each initiative formulated specific milestones. These milestones were approved by the Steering Committee before the initiatives were launched. Subsequent adjustments in milestones or targets have been approved either by the Steering Committee or by the Rector/Pro-Rector.

Environmental Risk

Self-Evaluation

Strategic Research Initiative: Environmental Risk (situated at ENSPAC)

Prepared 31 January 2016

Leader in charge: Associate professor Gary Thomas Banta, ENSPAC

Pages in total from min. 10 to max. 15 pages excl. appendixes

This report has been prepared by the Environmental Risk (ER) Initiative coordinator, Gary Banta, with input from special consultant, Birgitte Steen Hansen and feedback from our internal reference group (see below). Data on publications have been provided by Roskilde University Library.

The following Appendices accompany this report and are referred to in the sections below.

- 1) Researchers associate with ER initiative
- 2) Administrative organization of the ER initiative
- 3) Budget for ER
- 4) Publications from ER
- 5) External projects (sought and funded)
- 6) Description and evaluation of Ph.D. course *Ecological Risk Assessment: Issues and Applications to Improve Decision Making*
- 7) Milestones for ER
- 8) Seed money projects
- 9) Sunrise Conference/Workshop Description and program

Short description of the strategic research initiative (max. 2 pages)

(History, context and raison d'être – overall ambitions of the research initiative)

Based in part on the results and recommendations of an external research evaluation completed in 2011 as a part of Roskilde University's development and strategy plan (RUC 2015), the university invited research program applications for funding support from the University and the associated Departments. The idea with these programs was to invest in research areas ("satsningsområder") that had the potential to grow into areas of strength with some added help from this "investment" (or "satsning" in Danish). While these areas should originate among from the various departments and would thus differ, it was also a requirement that the research programs that RUC would support should fulfill some general criteria of overall importance to the university, such as fitting within RUC overall profile and identity, being interdisciplinary and having a close interaction with educational programs. We were fortunate and honored that Environmental Risk was one of the 4 strategic research initiatives selected out of 13 applicants, and we are pleased to report and document here that our research initiative was conducted in agreement with the intentions of the overall strategic program and has been successful.

Overview and general goals

Environmental Risk (ER) is an interdisciplinary research focus and collaboration between 3 of ENSPAC's research groups: Environmental Dynamics (ENV DYN: ecology, ecotoxicology, biological production, ecohydrology, natural geography, remote sensing) Geosciences (geology, geography, paleogeography and – climatology) and METRIK (environmental planning and regulation, climate planning and mitigation). The general focus area in this research collaboration is found in the title, namely **environmental risk**, covering a wide range of complex and interacting environmental problems. The research efforts and expertise within the initiative ranges from scientific studies of the causes of environmental risk (e.g., the use of fertilizers or chemicals to the environment, stream flow conditions during changing climate conditions, volcanic eruptions, landslides, etc.) to assessing the consequences of such incidents (i.e., ecological or and environmental impact assessments) to more social science assessments of the societal aspects related to environmental issues, such as the economic impact of environmental risk or management and policy-oriented actions needed to prevent or mediate the impact of environmental risk events or situations. Given that environmental risk issues are complex and interdisciplinary it is

necessary to use an interdisciplinary approach for their analysis and remediation and this interdisciplinary approach was a central, overarching theme for the research in ER strategic research initiative. Precisely the combined natural and social scientific approach to the problems and subjects under environmental risk is fairly unique and is defining for our work on environmental risk in this strategic research priority area. The goal of this initiative is to address such complicated and interdisciplinary environmental issues via both disciplinary and interdisciplinary research efforts, with the latter especially being encouraged. While our research covers a wide range of environmental problems and issues, our research has been focused and (somewhat) organized under 3 main themes: *Chemicals and the environment*, *Water and environment* and *Natural hazards, climate change and environment* (see <http://www.ruc.dk/en/research/strategic-research-initiatives/environmental-risk/> for more of insights).

The research in the ER initiative is also closely linked to the international master's program in Environmental Risk (see <http://www.ruc.dk/en/education/subjects-at-roskilde-university/environmental-risk/master-of-science-in-environmental-risk/>), which began in autumn 2013. Nearly all the teachers and staff involved in the M.Sc programme are active participants in this research initiative. Likewise, the majority of Master thesis projects coming out of the program deal with themes and research projects central to the Environmental Risk research initiative. Over the past 3+ years, there have been over 30 scientists, including Ph.D. students, associated with the initiative, with a core group of about 25 researchers being very actively involved (Appendix 1).

History

We were informed in spring 2012 that Environmental Risk was one of the selected research initiatives at RUC. The initiatives were planned to start in 2013 and run through 2015. We began our planning process in late 2012 and more formally in 2013, in dialog with university (more formally a steering committee made up of the rector and support staff together with the chairs of the departments housing one or more RUC research initiatives) and a local reference group (made up of the leaders of the 3 contributing research groups, myself as coordinator and Birgitte Steen Nielsen as departmental research support, Appendix 2). The major decision that to be made at the beginning was the overall plan for the disposition of the 4.5 million DKK budgeted for the 3 year initiative. The budget overview for ER can be seen in Appendix 3, but the most important and defining decision made was to allot the majority (69%) of the budget (ca. 3.1 mil DKK) to the hiring of young scientists (postdocs and research assistant professors) as key contributors and bridge builders within the research initiative. This was clearly our major “satsning” (to be understood in both senses of the translation, i.e., as an investment and as bit of a gamble). We decided that hiring new, dynamic and interdisciplinary staff members was the best way to energize and lift the research activities on these topics in the collaborating research groups.

We designed a very open and international announcement of 3 research positions available in Environmental Risk starting as soon as possible in 2013, but given the formalities and the time needed for the thorough interview process we conducted (we received over 20 applications from all over the world and invited 6 to interviews), we were able to hire 2 assistant professors for 3 years (some Departmental teaching funds were added) starting in fall 2013 and one 2-year postdoc starting in January 2014. Thus, even though planning for the initiative (and the new Environmental Risk M.Sc. program) continued during the first half of 2013, the initiative did not fully start until fall 2013 and was at full strength from 2014. This “late start” is one of the reasons that we happily accepted the possibility of extending and moving our funding period into 2016 where we plan to formally end this summer. In reality, one of our research assistant professors positions is extended until the end of 2016 due to parental leave during fall 2015.

There is no doubt that these hirings, both who they were and in what scientific disciplines, was of major importance for the future direction, focus and success of the initiative. The two assistant research professors, Farhan Khan and Kristian Syberg both work in the general area of ecotoxicology (strengthening the *Chemicals and the environment* theme) but with different, but complimentary, focuses and methodology. It was our hope and intention that these two would achieve a synergy working together that would lead to better and more results than if they were working on their own. The

final hire, Lauren Seaby, was at the more junior post-doctoral level and in the area of climate modelling and ecohydrology (overlapping with the second two research themes). With these hires, given that they represented the major investment of resources, we strengthened the areas of ecotoxicology and chemical risk assessment and regulation on the one hand and ecohydrology, water resource and climate effects assessment on the other hand, although not to equal extents. Other natural areas within the research initiative collaboration, such as eutrophication, invasive species, soil science, natural disasters, etc., were not directly supported or lifted by these new staff additions.

The more detailed plan and history of the initiative can be seen in the following sections and in the appendices where our other uses (guest professors, seed money, etc.) of the strategic funds at hand will be reviewed. It is important to note, however, that the success of this (and the other) research initiative, should be assessed within the context of the dynamic and shifting (read not stable) environment at RUC and the Department. During the past 3 years, there have been several major structural changes to personal, the Department structure and RUC in general that should be mentioned here that certainly have influenced the possibilities and ultimate path of the initiative.

Michael Storey, leader of the Geosciences research group left RUC in 2015, and Geosciences was incorporated into the Environmental Dynamics research group, thus reducing the number of contributing research groups. Michael's departure was not so dramatic in terms of the number of participants and he had not been involved in any of the core projects, but it did lead to a substantial weakening of geosciences at RUC and within our initiative. This was also exacerbated by the fact that other staff members with geoscience as their areas of focus were also lost during or just before this time due to retirement and staff reductions. Thus the geoscience "leg" of the ER collaboration was severely weakened during the period of the initiative.

The financial situation for funding Ph.D.'s at RUC also went through some dramatic changes during the past 3 years. Most notable was a total stop of RUC finances for Ph.D. students during 2015. Prior to that RUC had an active program of co-financing several Ph.D. stipends each year and a number of researchers active within ER had historically had good success in obtaining other, matching funds from external sources to establish new Ph.D. positions in our research groups. This clearly slowed dramatically (or stopped) in 2015 and given the active role of Ph.D.'s in our research efforts is of great concern in terms of a reduction of research activities and success.

Other institutional reforms (study program reforms, department realignments) have also been major (disturbing) events during the initiative period. While they did not directly affect the plans and research activities in our initiative, there is no doubt that they required extra time and attention for some key participants that could have otherwise been utilized and invested in ER activities. In this way, the timing of these other factors at the university was unfortunate. Still, I hope we successfully document what we accomplished in the 3 years that ER has been a strategic research initiative in this report.

4 cross-cutting milestones to be fulfilled (max. 6 pages)

1) Research production: Peer-reviewed publications (BFI) and other research publications

The summary of publications (numbers and types) for researchers of the ER initiative is seen in Figure 1 (with the complete list in Appendix 4). It is clear that the majority of publications from ER researchers are in peer-reviewed scientific journals and that our researchers are quite active in presenting at conferences. Book contributions are less common and seem to be falling over time, presumably due personal changes associated with retirements, etc., and possibly related to the facts that our hires were of young, predominantly natural science researchers for whom book contributions are less common. The number of journal publications has fluctuated somewhat, but appears to be increasing towards the end of the initiative period. We expect this increase to be continuing into 2016 and beyond as it clear that any added research activities stimulated by the initiative would only be coming in press towards the end of the initiative period and afterwards. We are quite satisfied with our ability to maintain and increase our scientific output while initiating new and sometimes "risky" research initiatives.

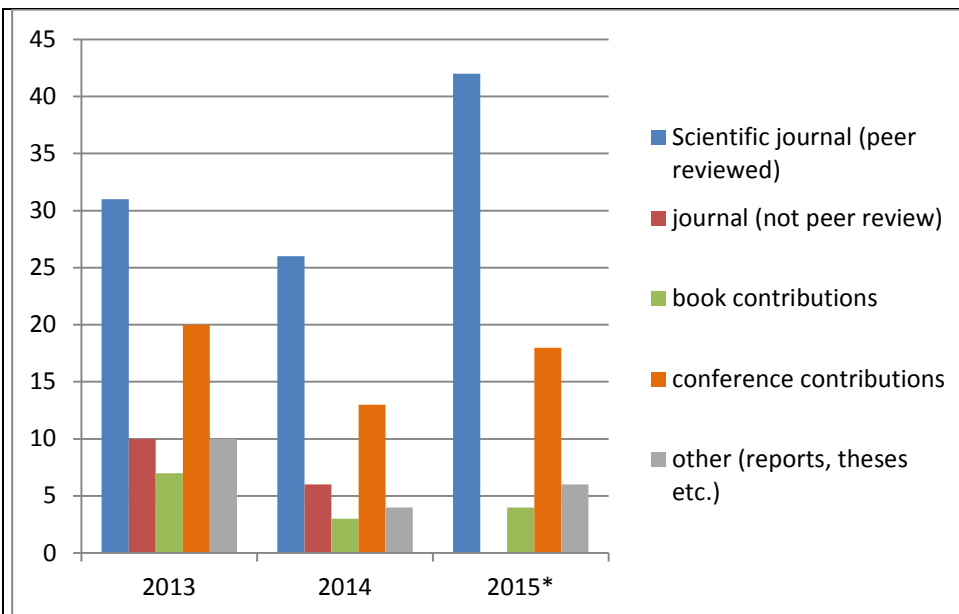


Figure 1. Summary of research publications for the Environmental Risk research initiative by year. The first two categories represent publications in scientific journals, but distinguish whether contributions were peer reviewed. Book contributions were mostly chapters while conference contributions represent both posters and presentations, but included published abstracts in most cases. Other types include reports, Ph.D. theses and miscellaneous other scientific outputs. Note the data for 2013 and 2014 is finalized and confirmed while the 2015 is not finalized or confirmed (and is presumably an underestimate).

Given the large disposition of the initiatives' funds into the hiring of the 3 key scientific personal, it is worth focusing on their contribution to the group's publications. The portion of publications and other scientific output where at least one of the 3 hired junior scientific staff is a coauthor has gone from about 5% in 2013 and 2014 to over 20% in 2015. It is thus clear that the 3 hired scientists are playing a central and increasing role in ER research. It is, however, worth noting that there are multiple coauthors on nearly all of our publications throughout the period and in most cases, several of the coauthors are from the ER research group (Appendix 1), which indicates that the vast majority of our research is collaborative as is expected with the broad environmental topics addressed. Despite this "sharing" of production, our individual research production is acceptably high with 2.2-2.3 contributions per person per year in 2013 and 2014 and currently (under)estimated to 1.7 for 2015. These numbers are reduced to 1.5-1.7 for 2013 and 2014 and 1.4 for 2015 when conference contributions are not included. We expect that these numbers will be maintained and even grow in the future if research activities in Environmental Risk can be sustained.

2) External funding/projects co-funded by the strategic research initiative (e.g. number of applications, total funding, the role in the application e.g. coordinator/partner etc.)

The history of applications made by researchers associated with the ER initiative and the fate of these applications in terms of funding is presented in Appendix 5 and summarized graphically in Figure 2. Seeking external funding has been a main focus for the ER initiative, as is the case for many research groups, and it is clear that our efforts to identify and apply for research funding are bearing fruit. It is also clear that this process takes hard work and time. Despite many positive evaluations of research project proposals, the competition is hard, and success does not come instantly to a new research initiative. Furthermore, many of the ultimately successful grant applications represent modifications and adjustments to previous research applications not granted in first or even repeated submissions. There is a good trend that our success rate is increasing. This is, however, a very fragile situation as we are still talking about only a few grants that make a big difference each year. Still, the trends are very encouraging.

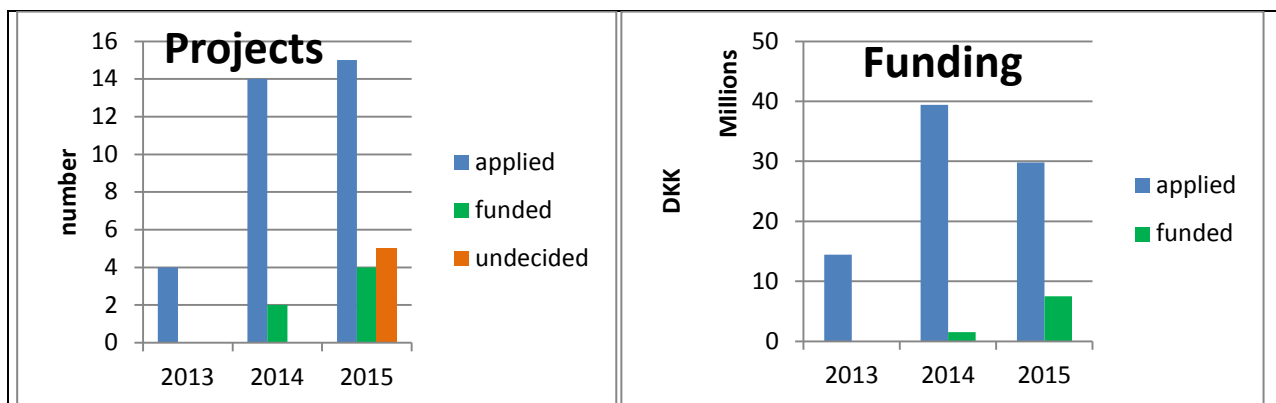


Figure 2. Overview of externally sought research funding by Environmental Risk researchers. The panel on the left shows the number of projects applied for and how many were funded. Also the projects submitted during 2015, but still undecided are shown. The panel on the right shows the funds sought and received (in Danish kroner). The details for these data are found in Appendix 5.

It is also worth noting that our 3 key hires have been actively involved in several of the ER applications and, even better, they are involved in about half of the projects that have been funded. So they are making major contributions to the growth and success of ER research. It is also quite satisfying that the research focus area on microplastic pollution that has grown out of ER with major inputs from 2 of the key hires (KS and FK) has been successful in obtaining external funding. This research focus was truly a result of collaboration and support during the ER initiative and it is very encouraging that this relatively “young” area already has succeeded in obtaining substantial external funding support.

3) Development of PHD activities/courses

Many of the Department’s Ph.D. students’ and their supervisors’ research fit naturally into the ER initiative. During the 3+ year time period of the initiative, 7 ENSPAC Ph.D. students have been involved via their research and to some extent their teaching. A few other Ph.D. students have occasionally overlapped with activities of the initiative, but have not been directly involved. The majority of the Ph.D. students involved in ER have been in the general area of ecotoxicology, one of the main focus areas of the initiative, but Ph.D. students in aquatic and landscapes ecology, environmental planning and ecohydrology have also been involved. It is important to note that RUC made the decision that the Strategic Initiative funding should not be used to directly fund any Ph.D. projects, so this make up of Ph.D. students represents the projects “already in the pipe” or on track in the Department at the onset of the initiative together with external funded acquired during the initiative period. As is clear in Section 2 above, new funding initiatives and directions that resulted from collaborations supported and even started during the initiative take time to come to fruition and only now, towards the end of the initiative period, have led to new research opportunities, including new Ph.D. student stipends. It should also be mentioned that the availability of Ph.D. student stipends was also restricted during the last half of the research initiative due to financial challenges at RUC leading to a reduction in number and ultimately a temporary stop in 2015 of university funded stipends which had been used to co-finance Ph.D. stipends. This reduction in RUC matching funds thus slowed down the flow of new Ph.D.’s to this research initiative (and any research area at RUC).

One of the milestones (see Appendix 7) in the ER initiative was to develop and hold a new Ph.D. course within the area of initiative. Together with the Graduate School of Environmental Stress Studies (GESS), we developed, organized and held the Ph.D.-course *Ecological Risk Assessment: Issues and Applications to Improve Decision Making* at Sømningstation (RUCs field station), Holbæk, DK in August 2014. The course was led by guest professor Allen Burton (U. Michigan, see below) and Dan Salvito (Research Institute for Fragrance Materials) together with ER staff and contained both theoretical and a practical (field and lab) elements (Appendix 6). Eleven (11) students/participants, representing both academia and industry, from Denmark, Sweden, Holland, UK, China and USA attended the course. Based on the positive course evaluations (Appendix 6), the course was deemed a success and is a useful and interesting offering within the field of ER. Course feedback also gave good suggestions about how the course can be improved and adjusted. The intention is to repeat this course on a biannual basis as part of a SETAC (Society of

Environmental Toxicology and Chemistry) summer school series, although the next offering of the course has been postponed until June 2017, due in part to the current lower number of GESS Ph.D. students. The extra time will, however, allow the course to be better advertised via SETAC conferences and publication network. We do expect this continuing course to be part of the ER initiative legacy.

4) Institutionalization of the research groups/teams within the research initiative

Institutionalization is clearly an area where the ER initiative currently is weak and stands on uncertain ground. ER has lost its natural “home” with the recent Departmental reform at RUC, given that ENSPAC has been dissolved and the two contributing research groups remaining, Env Dyn and METRIK, have moved to separate new Departments (Dept. of Science and Environment and Dept. of Humans and Technology, respectively). Both research groups are still strong and will naturally house and support the relevant researchers and research activities of the ER initiative, but there is undoubtedly a challenge of trying to maintain contact between these groups, and to maintain the inherent interdisciplinary collaboration that goes with it now that they are in separate Departments.

To help address this challenge, and to adapt and evolve the ER initiative, we are currently formulating ideas and plans to apply for a RUC Center for Interdisciplinary Environmental Studies (or possibly Center for Interdisciplinary Sustainability). This idea is in the process of being formed, including an appropriate Center name and focus, but the idea is to organize a meeting place, forum and “clearing house” for researchers working with environmental issues. It is our hope that this Center will involve participants from all 4 of RUCs new Departments, and ultimately collaborators outside RUC. It is our ambition that this Center will be the natural meeting place for addressing interdisciplinary environment issues at RUC. It is our further ambition that a main purpose of this center will be to identify potential environmental areas where RUC researchers have relevant expertise and to assemble a competent, interdisciplinary group to address these problems, not least of which by seeking appropriate external funding. We feel that if such a Center would be another important legacy for ER, it will facilitate the formation of flexible research groups or task forces based at RUC to address current and future environmental issues in an interdisciplinary manner.

Other aspects of institutionalization for Environmental Risk have not really started. We currently have 3 externally funded junior scientific personal, 2 associate professors and 1 post-doc, supported by the Initiative (see history above) for which there are no clear means of extending their positions at this point in time. All have sought external funding for continuation in one or more form, but there has been no coordinated effort on the part of the University or Departments to retain or institutionalize any of these key employees of the ER research initiative. There are of course a number of logical and defensible reasons for this lack of a concrete plan with support from the university or Department(s) for these young scientists, including the obvious reason that these positions were outside the university staff allocations (traditionally based on teaching alone) for the contributing research and teaching areas. Unfortunately, student numbers in those areas (including the Environmental Risk M.Sc. program) have not grown to a sufficient level to increase staff sizes. Even more daunting is RUC’s current financial situation, with further staff reductions likely, which has not made it feasible to push forward the idea of hiring new, permanent staff members. Additionally, the formation of new Departments in 2015, with new Department Chairs only recently being appointed, has severely handicapped any possibility to discuss how the ER initiative, including eventual hires, fits with any strategic considerations or directions at the Department level. I am hoping that such discussions can now begin in earnest in the near future now that all Departments are more or less in place, despite the ominous financial situation at RUC.

There is no doubt that the future of the young scientists who have been critical contributors and central players in the initiative is extremely uncertain and that this lack of continuity and seriously jeopardizes the future legacy of the efforts and gains made by ER and associated scientists the past 3+ years. This is undoubtedly one of the greatest concerns for the future fate of Environmental Risk research (and teaching) at RUC. We are of course hopeful that some of our currently pending external applications will be successful and help extend the participation of our key researchers, but this is by no means certain. The current future perspective of the junior staff hired by ER is presented in the following sections.

Farhan Khan has sought funding in the Danish Saupre Aude starter grant programme for elite researchers,

and while Farhan's research is of a high quality and his publication rate is high and he should seriously be considered for that programme, the competition for Saupre Aude grants is extremely hard and the likelihood of being funded is quite small, even if highly qualified. Farhan's experimental research is of a high international caliber and his research of central importance to ecotoxicology research at RUC, so it would be a significant loss to ER and RUC research if he cannot continue in our group past the end of his current contract. He has also been an important teacher at the Natural Science international program and for supervising Environmental Risk M.Sc. students.

We are pleased that the Rector has funded Kristian Syberg's application to participate in a microplastic research cruise and summit meeting in the Pacific Ocean this coming year, and we are thankful for the university's support of this new and growing research area in ER. We also meet approval and understanding for this new research area throughout the university which is quite satisfying, but we are also very concerned with our ability to sustain and increase our research activities in this (and other) area(s) in ER without further institutionalization and without the likelihood of additional permanent positions in ER in the near future. As mentioned elsewhere, Kristian is the lead investigator for RUC's part on the large just granted by the Villum/Velux Environmental Fund project ("Et hav af muligheder") about microplastic pollution centered around Roskilde Fjord. The current situation is, however, that Kristian's appointment ends this summer (2016) which seriously jeopardizes RUC's participation and continuation in microplastic research in Roskilde Fjord and elsewhere. Kristian is also a central teacher in the Environmental Risk M.Sc as well as other programmes (now in different Departments). We plan to discuss Kristian's key teaching contributions in these different programmes with the new Department Chairs soon, but the perspectives of such discussions are uncertain given RUC's current economic situation.

Lauren Seaby's career situation is different, but also uncertain at the moment. Her position ends shortly (February 2016) and she is seeking new post doc funding (see below) to continue, hopefully at RUC. We have plans to integrate Lauren's climate modelling skills into more ER research as discussed below. Lauren has also begun an increasing role in environmental education programmes at RUC which we also hope can continue to grow in the future.

Each of these junior staff members is doing what they can themselves to continue both their careers and their participation in ER research at RUC, but at this point in time, none of these plans are certain. Without any additional help from RUC or the new Departments, the future of these young researchers (and teachers) ER is very uncertain. There is no doubt that future of ER at RUC will be fundamentally different without the participation of these key contributors.

Specific milestones defined by the research initiative (max. 4 pages)

The status of the individual milestones outlined in the ER initiative implementation plan can be seen in Appendix 7, but several milestones or activities are worth highlighting and assessing here.

1) Research themes

As mentioned in the overview, research in ER initiative was organized under 3 themes. These themes were meant to both guide and give structure and clarity to the broad field of environmental research that could be considered under the ER theme. Below is a brief summary and assessment of research under these themes.

Chemicals and the environment

Current research is focused on chemical risk assessment, the fate and effects of chemicals in the environment, chemical regulation (e.g., REACH), effects of chemical mixtures (i.e., cocktail effects), assessments of environmental risks associated with emerging pollutants (e.g., nanoparticles, personal care products, microplastics). There is also much focus on improving the ecological relevance of the testing and ecotoxicological assessment of chemicals in the environment, especially in benthic (sediment) environments.

This has been major focus area of our work, not least of which due to the fact we had a strong ecotoxicology group to begin with and that 2 of our ER hires (F. Khan and K. Syberg) were within this area. This area also has the largest number of PhD students within the initiative and thus has been a very active research theme. It has also been a theme that has evolved and been developed during the

initiative's period. It is especially worth noting that the current research on microplastic pollution and effects in aquatic systems is new and growing focus area of ER that is borne by new collaborations and efforts initiated by ER. With a recent large grant from the Villum/Velux environmental program (K. Syberg as RUC's lead PI), with support from RUC's administration (rector developmental funds) and with other grants pending we are optimistic that our momentum in this new research area will continue in the future.

Water and environment

Current research is focused on the environmental impacts (e.g., eutrophication, habitat alteration, alterations in ecosystem functioning) resulting from the utilization of surface and ground water resources under current and future climate scenarios. Of particular interest is how land use or resource use changes within the watershed affect the associated aquatic (freshwater and coastal marine) ecosystems and the transport of materials (nutrients, pollutants, etc.) through the watershed to the sea. These efforts are closely linked to water planning and management considerations.

This is a traditionally strong, but broad area within the ER research group. It clearly also overlaps with the chemical and environment theme above because we mostly have worked with chemical and other pollutants in the aquatic environment. Outside the areas of ecotoxicology, we have maintained research activities associated with water quality and eutrophication (see seed money projects) and we have also added to our work on ecohydrology and ground water resources with L. Seaby's appointment. This area has, however, been more spread and less focused than the first theme and is conducted by smaller groups of researchers on separate projects. We have not succeeded in starting a new, more collective project on research problems related to water and the environment, although we have made several applications to attempt to do so. We do have a range of relevant expertise, experience and competencies in ER to have success in this area in the future, but there are also large groups of competent researchers in this area in Denmark and the world. Even though we collaborate with several of these larger groups in developing joint research proposals in both Denmark and EU, with research becoming increasingly dependent on external funding, competition is still quite hard. We plan to keep collaborating and preparing forming joint research proposals on these topics, for example in collaboration with our guest professor, Stiig Markager (see below).

Natural hazards, climate change and environment

Most of the groups' research within this theme has been focused on the time scale of climate change with the goal of assessing the effects of long term climate changes through the use and analysis of the output of different climate models. These long-term changes have been projected to examine the effects on hydrological cycles with special focus on ground and surface water dynamics in local and regional watersheds. Lauren Seaby also contributed with climate model analyses for research addressing the development of cost-effective river basin management programmes under a changing climate (paper accepted) in collaboration with environmental planning researchers from METRIK. Other, more ecological projects have focused on the consequences of climate change for the distribution of aquatic species, especially marine and estuarine macroalgae and plants.

Research under this theme shifted away from natural hazards and more toward climate change during the initiative period, in part due to the changes in personal. Lauren Seaby and Eva Bøgh's work on coupling the effects of climate change and ground water utilization scenarios via hydrological modelling has been one focus of ER research. Other, more ecological aspects, has been ecological and ecophysiological research on the consequences of climate change for the function and distribution of important or model organisms. See some of the publications by Morten Foldager Pedersen and his students in this area. This latter work has, however, been conducted by individual researchers and their associated students and not as a larger collaboration of several scientist in ER. This type of "individual" research is still a very important contribution to the ER initiative and results are shared and communicated and shared via research seminars, etc., but it is limited to what degree the initiative can support the effort of individual groups. This is a question that certainly should be considered, both within ER and in general.

2) Junior scientific staff (hires)

The performance and success of the 3 junior scientists hired by ER has been documented and assessed where appropriate above. It is worth making a few general and retrospective comments about this strategy. All 3 have contributed substantially to ER and have had success in their own ways as documented. There is clearly a difference in the volume and breadth of their contributions as a function of their position, experience and research profiles. Both Farhan and Kristian were experienced researchers (and teachers to some extent) and had interacted before with each other and other ecotoxicologists via previous projects. They were thus able to continue and build on this collaboration during their employment in ER. Both of their positions were extended by including teaching duties which also has given a longer presence in ER which has also helped with their. It is clear that both are central contributors to ER ecotoxicology and pollution research

Lauren Seaby's situation is completely different in that she started a shorter, 2 year post doc directly after her Ph.D. and that she came to the group with a new, but complimentary skill set, namely climate modelling. While she has successfully worked together with smaller groups of researchers in natural geography and with METRIK researchers and some students in the area of climate impact assessment, it has been more difficult to bring her skill set in play in a larger ER context. We have identified a number of potentially relevant areas in ER where such climate modeling tools would be interesting to apply, but we have not been successful in acquiring funding or establishing projects where Lauren's modelling skills play a major roll. More time would be nice to follow these ideas and hopefully some external funding possibilities to do will arise in the near future. Lauren maintained a good network with external collaborative partners, and she is currently in dialogue with Orbicon and COWI about possibilities for funding of an Industrial Post Doc project to be carried out in collaboration with RUC.

3) Idea workshops

A series of idea and brainstorming workshops were planned and conducted during the ER initiative (Appendix 7). These were necessary and inspiring at the beginning of the initiative and helped form collective awareness and development of potential research areas and directions within ER. The first brainstorming workshop held at Restaurant Vigen (away from RUC) in June 2013 was particularly creative and inspiring and identified both potential project ideas and external partners. Follow up and follow through was, however, only limited and this turned out to be a common issue in ER. It was difficult to maintain a collective participation and creative investment throughout the initiative period (see some considerations in last section). As such the idea workshop series was put on standby during the middle of the initiative and was replaced in part by other initiatives such as seed money projects.

Approaching the last phase of the initiative we held a "closed" feedback and strategy workshop in August 2015 where the reference group, our 3 hires and selected researchers participated. The main theme of this workshop was to assess the status of ER and to define goals and strategies for the last phase and future of the initiative. In this closed setting important discussions about what did and didn't work took place and some potential directions in which to continue (both projects and cooperation, e.g., as a Center) were discussed. This workshop was more concrete than previous open workshops, but this was both as a result of the "tighter" agenda and the late stage in the initiative.

Idea workshops are useful and necessary forums for supporting collaborative work and new initiatives, but it is clear from our experiences that they cannot stand alone and need to be actively followed up in a number of ways. We did not succeed in this regards.

4) Reference group (and advisory board)

The reference group for ER (Appendix 2) provided important and valuable feedback throughout the initiative. In particular they were key in helping define the overall themes and to the hiring process at the start of ER. They also provided important and regular feedback about milestones, planned activities and to help prepare me for meetings with RUC and Departmental administration. It is clear, however that the reference group is a resource that needs to be used actively and this was not done on a consistent basis throughout the initiative period. In this context it is also worth mentioning that 2 out of 3 members of the original reference group were replaced within our 3 year period, so there has been a little bit of unnecessary starting over. On the other hand, the replacement members of the reference group were

more directly involved in ER activities.

One milestone not completed was the appointment of an external advisory board (Appendix 7) despite that many good suggestions about possible members were received at an early stage (2013). However, at this stage ER did not have a sufficient identity and direction so it was difficult to define what the role of the advisory board should be. Later, when we did have an identity, it was difficult to ask others to advise about decisions and dispositions already made (69% of the funds were already committed to the junior staff hires). We considered holding our own external review at the end of the initiative, but decided instead to rely on RUCs overall review (this evaluation) for general feedback and to use the funds allotted to the advisory board call in experts to review specific proposals for future research and initiatives coming out of ER. These funds are pushed to 2016.

It is hard to assess the consequences of not having established an external advisor board or review panel for ER. We have successfully used our guest professors (see below) in an advisory role that hopefully has compensated for this somewhat, but they may also lack the distance and neutrality to give a truly objective assessment.

5) Guest professors and seminars

One of the important dispositions in ER was the establishment of a guest professor program. The idea was to invite important external “experienced” collaborators to spend significant time with our research group to interact, inspire and collaborate with researchers and students in ER. We have had 3 guest professors as described below. The first 2 have completed their stays and have made important contributions to the ER initiative and our collaboration with both is ongoing. The last guest professor has only just begun his series of visits, so it is too early to assess the outcome of that collaboration. Despite the very different formats and areas of expertise, we believe that the guest professor program has played an important role in the ER initiative, especially in lieu of not having an external advisory board.

- Professor Allen Burton (AB), University of Michigan, USA; ecotoxicology and interdisciplinary aquatic science – AB was named honorary doctor in Natural Sciences at RUC and visited in September 2013 in connection with the ER kickoff seminar and RUC annual party. He visited again for 1 month in May-June 2014. He also taught in the ER Ph.D. course (see above) in August 2014. He was an important contributor to and participant in the Sunrise workshop (below) and has given important support and feedback to our ecotoxicology and microplastic research.
- Professor Stiig Markager (SM), Aarhus University, DK; aquatic ecology and eutrophication – SM visited ER for 5 weeks in May 2015. Here he collaborated closely with Søren L. Nielsen on ongoing research in Roskilde Fjord. He also held a departmental seminar and interacted with ER researchers and students, especially in regards to collaboration via the national monitoring data of Danish marine ecosystems which is administered in his Department at AU. Our invitation to SM was a deliberate attempt to strengthen the important area of aquatic ecology and eutrophication within ER that was not supported by the hiring of a junior scientist. Collaboration between us in ER on these topics is ongoing with the hope of acquiring externally funded projects to continue and strengthen our research on these important topics.
- Professor Walter Rossing (WR), Wageningen University, Holland; agricultural systems, stakeholder analysis, mathematical modelling – WR is planning to visit 5 times of each 1 week duration to collaborate with especially Henrik Haugaard-Nielsen and the METRIK group about nutrient recycling in closed agricultural systems. WR first visit was in December 2015. WR will also teach in the Environmental Planning (Tek-Sam) program during his visits. The group is also has ambitions to prepare an EU research proposal on related topics in the coming year.

6) Seed money

Another important disposition in ER was the invitation for seed money projects. The purpose was to support and stimulate research activities directly related to the ER initiative especially in the form of supporting pilot projects and network building activities (including travel and workshops). Seven (7) projects in total were funded (Appendix 8). These projects differed in area and how they were constructed, although the majority supported actual research or data acquisition directly. All but one of

the projects have been successful in producing a scientific or other desired output, although most of the projects are not completed in the sense that a final publication has been produced or new research grant acquired. In that sense, the seed money projects are still in progress for the most part. There is no doubt, however, that the incentive of being able to apply for relatively small funds (10-50,000 DKK) stimulated and supported research activities in ER that would likely not have occurred without the seed money program. In hindsight, it might have been a good use of funds to have allocated even more to the seed money program in ER.

7) Sunrise workshop

One of the main milestones and obligations for ER was to arrange and host one of RUC's Sunrise conferences. With funding from RUC's Sunrise conference pool, we planned to hold an international conference at RUC in August 2015 on **Assessing and managing multiple risk in a changing world**. The intention was to hold a 2 day conference modeled after a SETAC Pelston Workshop or similar format where invited speakers presented overviews of Risk Assessment and Risk Management with three types of risks in focus: Geospheric hazards (e.g., earth quakes and volcanic eruptions), environmental change (e.g., climate and hydrological extremes) and anthropogenic hazards (e.g., chemical hazards) in the mornings. In the afternoon breakout groups were planned to address questions posed to these topics as submitted by conference participants and the organizing committee and to try and form consensus about the questions posed and issues addressed at the conference. A unique element of this conference was the attempt to bring together, in an interdisciplinary manner, different disciplines and different actors involved in environmental risk. The conference was thus ambitious and alternative in its format and approach to more traditional conferences addressing such topics.

When it became apparent during the planning and advertising period that it was not realistic to attract as many participants as originally planned, the conference was held as a smaller workshop. The workshop was held 16-18 November (see conference description and program in Appendix 9) at the Scandic Hotel in Roskilde with 30 participants from Denmark, Europe and N. America. The workshop was a great success with excellent presentations (available as videos at <http://www.ruc.dk/en/research/strategic-research-initiatives/environmental-risk/news/httpswwwrucdkforskning/>), stimulating discussion and the building of several consensus points. By the end of December 2015 a consensus paper was generated and is currently under review for publication. Several other contributions are in the process of being submitted to a special session relating to the workshop in *Integrated Environmental Assessment and Management* that will be published in 2016. There is already a verbal agreement for a follow-up workshop on the status of the recommendations made at the ER Sunrise workshop to be held in Portugal in 2017. So, despite the ER Sunrise conference not being as originally planned, the Sunrise workshop **Assessing and managing multiple risk in a changing world** sponsored by RUC and the ER initiative was successful and will also be part of ER's legacy. New collaborations with colleagues outside RUC were started during the workshop are continuing and growing.

Lesson-learned – reflection on strengths, weaknesses and challenges (max. 3 pages)

I have made interpretations and conclusions throughout this report, but here I will try to draw some overall, more general conclusions. These interpretations are seen from our internal, ER perspective and we look forward to receiving feedback from the review panel. We also look forward to reflecting on the experiences and lessons learned from the 3 other RUC strategic research initiatives as there certainly are both many shared experiences as well as important differences. Below, I try to summarize lessons learned during the ER initiative under the headings of strengths, weaknesses and challenges.

Strengths

- We do excellent, internationally recognized research within several areas of ER. This is especially true in the areas of ecotoxicology and chemical risk assessment where we have many different researchers successfully contributing and publishing scientific papers in high impact and internationally recognized journals. Smaller groups and individual scientists also have good success publishing their research within their respective disciplines. We need to make sure that these good researchers continue to have the opportunity to continue being good at what they

do and to collaborate with each other.

- We are also building good national and international networks. Again as a group, it is especially the ecotoxicology and risk assessment group that has built the most notable networks during the ER initiative period, but other networks around water and the environment have good potential for growth.
- The ER research program has strong ties to education at RUC, especially Environmental Risk, but also Environmental Biology, Geography and Environmental Planning (TekSam). M.Sc. students and their thesis work have been critical to our success via their field work and laboratory experiments. There is a good interaction between good students and good researchers within ER. We expect this to continue naturally, but we must be careful to keep nurturing this mutual relationship.

Weaknesses

- We are a relatively small and diverse research group. That means we sometimes lack critical mass and can easily lose momentum because we can end up working as individuals or small groups. Given our size, we are highly vulnerable to the current availability, energy and engagement of individual contributors to the ER effort. This vulnerability leads to fluctuations in the performance of the group as a whole.
- We have not adequately covered the breadth of the topics intended under the initiative. This is also a consequence of the group's size and the priorities made during the initiative, but there is a danger that we will specialize and concentrate too much and no longer truly cover enough breadth in environmental science and risk issues.
- Time is clearly a limiting resource. This is related to the point about size above, but it also points to the fact this small group of researchers are centrally involved in 4 or more teaching programs. While the link between ER related teaching and research is a strength, the time balance is a threat and can weaken the research effectiveness in the group. It is also related to the risks of using your limited time on risky and potentially nonproductive research (also discussed below in regards to the challenges of doing interdisciplinary research). Having some degree of buyout money is an instrument worth considering to help increase the time committed by researchers to new research initiatives.
- We have not had as much success in communicating our activities and successes to a larger, more general public, even within RUC and the local area, as we would have liked. We actively used and maintained the initiative homepage(<http://www.ruc.dk/en/research/strategic-research-initiatives/environmental-risk/>) to provide updated information and we released and broadly distributed a colorful annual report (www.ruc.dk/envrisk) (note, the next annual report is nearly complete). We also created our own blog, linked to the RUC ER homepage, but we later shut it down as it was not being visited by many readers. In connection with our success and activities around microplastics pollution and risk assessment of nanomaterials there has recently been public interest and some notoriety. But there clearly is a challenge in making our work at ER known and interesting to a broader public. Whether this is due to the nature of our topics (I doubt it), that we did not have too many concrete new results in the beginning of the initiative (true) or we did not get the word out in the right formats and to the right forums (also probably true) should be assessed. We can also hope it will be easier in the future now that there is increased awareness and visibility about some of our research.

Challenges

- As has been highlighted in several places throughout this report, our greatest challenge is how do we continue and sustain the activities and focus of ER. The creation of a Center and the retention of some of our junior scientific staff are two instruments that have been named, but others could also be explored. It is clear that if nothing is done, the efforts that brought ER together will be lost and environmental research will go back to being done by isolated groups of researchers at RUC with potentially less impact.
- ER as a whole does have a bit of a cohesiveness and identity problem. ER is constantly being equated with ecotoxicology, and while this is somewhat natural given the focus and success of

ecotoxicology research of the group, ER needs to be broader than just ecotoxicology. How to accomplish remains a challenge, but certainly maintaining the correct forums and collaborations across the different disciplines of ER is important.

- Related to the issue of identity is a similar challenge about ownership. Again this research in this initiative should not just be driven by ecotoxicology and it should not just be housed in the Environmental Dynamics research group. There are clear challenges ahead, especially with the end of the initiative and the Department reform at RUC, that need to be faced to maintain interdisciplinary collaboration on environmental issues in the future.
- Supporting, doing and communicating interdisciplinary science is always a challenge. It is not the quick nor is it the safe way to do science. Interdisciplinary science is risky and ineffective. Furthermore, it is not easily funded (although we can hope times are changing). We still believe in ER that an interdisciplinary approach is necessary for many problem areas in environmental science and it, ultimately, is the proper way to proceed (while still incorporating and building upon solid, disciplinary science and expertise). We believe that we, at RUC and in ER are broader and more interdisciplinary than many our colleagues at other institutions working on related areas and that our group treats environmental science and issues in a more holistic way. Considering the recent institutional reorganization at RUC and the end of the ER initiative, we need to find new mechanisms to continue to encourage and support such interdisciplinary approaches and collaboration. Seed money, buyouts and center grants earmarked to such efforts might be among of the means to seriously consider in future efforts.

Evaluation of Strategic Research Initiatives at Roskilde University

Strategic Research Initiative	Environmental Risk
Evaluator (name and university)	Prof Jonas Gunnarsson, Stockholm Univ.

Aim of the evaluation and background:

In 2012 Roskilde University invited research program applications for strategic funds in order to strengthen the research in promising research fields and through this support increase interdisciplinary collaboration within and among Departments at RUC and enable research, which may not have been possible through regular research grants or faculty funding. The aim of this evaluation is to assess the outcomes of the four strategic **research initiatives (RI)** that were founded (2013-2016): “Environmental Risk”, “Global dynamics”, “Designing Human Technologies”, “Power Media and Communication”. This evaluation focuses specifically on the initiative: “**Environmental Risk**” (**ER**) and more generally on the three other research initiatives. The evaluation is based on two parts, first self-evaluation reports written by the leaders of each RI, and secondly on a site-visit at RUC, where the main researchers of each RI presented the main outcomes and milestones achieved through the RI.

1. Comments on your specific research initiative: Outcomes and realization

Considering the relative short time (3 years) and relative modest funding (4,5 million DKK) of the research initiative, i.e. corresponding to an average external project grant, the outcomes achieved within the Environment Risk initiative are truly outstanding. All evaluators, including myself, were very impressed on “*how much can be achieved with so little extra support*” and we all agreed that these research initiatives have been quite a success in all 4 initiatives. The RI “*Environment Risk*” was launched under the lead of Associate Professor Gary Banta (ENSPAC) and has greatly facilitated the interdisciplinary research and collaboration between the three ENSPAC research groups: 1) *Environmental Dynamics* (ENV DYN: ecology, ecotoxicology, biological production, eco-hydrology, natural geography, remote sensing), 2) *Geosciences* (geology, geography, paleogeography and climatology), 3) *METRIC* (environmental planning and regulation, climate planning and mitigation). The research field within Environmental Risk is thus very broad and ranges from the impact of chemical pollutants from industry and agriculture on aquatic organisms, to changes in stream flow and groundwater reserves caused by climate change, to their socio-economic consequences and management and policy actions needed to cope with these increased anthropogenic pressures. Due to a critical shortage in research staff within the Environment Risk (ER) group, a strategic decision was taken to allocate most (70 %) of the funding of the RI on hiring new personal including two Assistant Professors for 3 years: Dr *Farhan Khan* and Dr *Kristian Syberg*, and one post-doc for two years: Dr *Lauren Seaby*. This appears to have been a wise and successful strategy since the three key hires have clearly played a central role in the achievements of the ER, mainly in boosting the production of research papers and conference presentations as shown in Appendix 1&2. The ER groups have produced

an impressive total of 118 papers from 2013-2016 (Appendix 1), as well as many reports, other publications and 4 theses. Of these, **36 papers and other scientific contributions (including the 4 theses) were produced thanks to co-funding from the RI** (Appendix 1 & 2). The portion of publications in which one of the 3 key hires was first author or co-author was over 20 % of the total production in 2015, clearly showing their contribution and the success of the RI. However, it is still too early to evaluate the full impact of the RI on publications by the ER group, since 3 years is quite a short time in terms of getting papers published. Thus these production numbers, though high, are still an underestimate of the full effects of the RI, as many publications co-funded by the RI are still in progress and will be published in the year(s) to come.

In addition to their contribution to publications and research, the key hires have also played a central role in the four other main achievements of the ER groups, namely: **1) teaching in the master's program in Environmental Risk, 2) developing a new PhD course, 3) organizing the RUC's international Sunrise conference in environmental risk assessment 16-18 November 2015, and 4) obtaining external research grants.**

Regarding: **1) teaching**, nearly all the teachers and staff involved in the **MSc program** in Environmental Risk have been co-funded by the RI, resulting in several MSc projects coming out thanks to this initiative. According to the self-evaluation report there have been over 30 scientists, including PhD students, over the past 3+ years actively involved in teaching and research in the RI.

One of the milestones of the RI was: **2) the development of a new international PhD course** in Environmental Risk Assessment. The course was organized together with the Graduate School of Environmental Stress Studies and held at RUC's field station in August 2014 under the lead of ER researchers with assistance from guest Professor Alan Burton (University of Michigan, USA) and Dan Salvito (Research Institute for Fragrance materials). The course was a great success and was attended by 11 (international) PhD students.

Another milestone of the RI was: **3) the organization of the 2015 Sunrise conference** in Environmental Risk Assessment. The conference was organized as a workshop with a participation of 30 scientists from Denmark, Europe and the USA, in various disciplines including geospheric hazards (e.g earthquakes), chemical hazards (i.e. environmental contaminants and eutrophication), risk philosophy, and science-policy (i.e. environmental management issues). Apart from providing an important discussion platform, the workshop format of the conference also allowed to divide into working groups and to generate several consensus/concept papers. One of them is already accepted in the journal IEAM (Integrated Environmental Assessment and Management) and three other papers have been submitted to the same journal.

The research initiative has also met one of its major investment goal, which was to: **4) lead to new research grants.** Kristian Syberg was first able to get extra support from RUC's Rector in order to fund a research cruise on microplastics in the Pacific Ocean. Together with other researchers within ER, he was recently awarded a grant

of 11 M DKK (1,45 M DKK for RUC) from the Velux foundation for a multidisciplinary project called *Drivers Pressures State Impact Response* and he is actively searching for new external funding possibilities. Farhan Khan has applied for funding from the Danish Saupre Aude starter grant program for elite researchers and for several other grants as well. Based on his excellent publication record, including one paper in *Nature*, I am confident that he will be successful with his applications. The ER groups have also gotten two other grants in 2015 from the Velux foundation called "*Nanotransfer*" and "*Ett hav af muligheter*" ("*A sea of possibilities*"). Lauren Seaby's research together with Eva Bøgh in the Ecohydrology group has been co-funded by a large research project called ECOCLIM run in collaboration between several Danish Universities to evaluate the effects of climate change on groundwater resources in Denmark. Søren Laurentius and his group from the Environmental Dynamics' group has also been successful in getting external funding for research on climate change, eutrophication and has recently shown that the Roskilde fjord acts as a major reactor for converting inorganic Carbon to organic Carbon and hence fuel the secondary production of the whole coastal area. He is also currently searching for funding from the Velux foundation for a very promising project to manage and retain nutrient emissions in the catchment area (i.e. before they are released into the fjord) and thus to counteract eutrophication. I hope and believe that this application done in collaboration with land-users and many local stakeholders will be successful as well. The RI has also helped and encouraged other ER researchers (Henriette Selk and Annemete Palmqvist) in applying and obtaining grants from the industry, e.g. funding from CES (Slicones Europe) (CEPIC)/Dow Corning, USA (140 000 EUR) and RIFM (Research Institute for Fragrance materials) (2,9 M DKK) for new PhD projects on the ecological risks from nanoparticles, siloxanes and personal care products. A more complete description of the obtained funding within the ER groups is presented in the self-evaluation report and in the internal RUC brochure Environmental Risk, Gary Banta editor (issues 1, 2014 and 2, 2016).

Other milestones achieved within the risk initiative Environmental Risk (ER) include the **invitation of guest professors** to RUC in order to collaborate with researchers and students in ER. Three guest professors were invited: a) *Prof Allen Burton* (Michigan University, USA), who helped leading the summer PhD course in ecological risk assessment and the Sunrise workshop; b) *Prof Stiig Markager* (Århus University) visited for 5 weeks in May 2015 and collaborated with Søren Nielsen and his group and helped strengthen the research in Aquatic Ecology and Eutrophication in the Roskilde fjord and to draft the pending research proposal to Velux on a catchment scale; c) *Prof Walter Rossing* (Wageningen Univ), who has just started his collaboration within ER (visit in December 2015, next visit in summer 2016).

Another creative use of the RI was to invite researchers in the ER groups to apply for **seed money** projects. Seven projects were funded in total with support ranging from 10-50 000 DKK (see self-evaluation report). Considering the modest amount of co-funding these seed money projects illustrate well the citation "*how much can be achieved with so little extra support*" mentioned above by the evaluators during the site visit at RUC. Indeed these seed money project have enabled several research projects and papers in progress, which would not have been possible without

support from the RI.

In summary, my evaluation is based on the self-evaluation report and on my site visit at RUC. The self-evaluation report prepared by Assoc Prof Gary Banta and Birgitte Steen Hansen is well written and gives a clear overview of the activities within the Environmental Risk groups. The site visit was also very helpful in order to meet most of the researchers in ER and thereby more specifically grasp which activities and publications were made possible through the RI (i.e. would probably not have happened otherwise). I do, however, apologize if I have forgotten to mention some of the researchers or achievements, and my evaluation should be seen as non-exhaustive. My general positive impression of the boosting effect of the RI for the research and education activities in the ER groups was further reinforced during the site visit. I am truly impressed by the researchers within the ER group and by what they have achieved through the RI. The numerous milestones mentioned above and the high scientific and educational outcomes show that the strategies adopted by the ER groups, in particular the hire of two Assistant Professors and a Post Doc were judicious. It is quite obvious from the extra output in research publications, increased external funding, extra manpower for teaching and supervision of MSc/PhD students, as well as increased national and international collaborations (i.e. through the guest professors and the Sunrise conference), that the investment in the ER group through this strategic initiative has been a tremendous success for RUC. This success, however, also highlights the high vulnerability of the ER group and the paramount importance of the two newly recruited Assistant Professors. Based on their successful achievements in e.g publishing papers in highly ranked peer-reviewed journals, starting a new research field on microplastics and their contributions to the ER group in teaching and in general, my personal recommendation to the new department head and to RUC is to make it a top priority to allocate more faculty funding and create tenure-track or permanent positions in order to retain these two promising young skilled researchers. Further, should the new department and the ER group lose these two researchers a considerable momentum attained through the RI would be lost.

2. Further observations concerning the strategic research initiatives more generally

On a more general level, it was really interesting to see how differently the funding has been used within the four strategic research initiatives “Environmental Risk”, “Global dynamics”, “Designing Human Technologies” and “Power Media and Communication”. It is clear that the four groups are very heterogeneous in size and organization and there is no universal way and no top-down process on how to best support these and other research groups at RUC. The success of the RI in all four groups shows that relatively limited funding can make a huge difference, help boost innovative research, but that different strategies are needed in different departments that are adapted to the research environment and the staff size of each department. I.e. in one case, such as in the ER group, where the staff was small it was judicious to hire new researchers, in other groups, however, like in the much larger Global dynamics group the funding could be used instead on supporting

numerous common activities such as workshops, guest lectures, conferences. Hence the support has to be tailored to the group's size and organization. However, in all 4 cases the research initiatives were a great success, and I can only hope and recommend that the new Rector at RUC will take similar strategic research initiatives in the future. When it comes to the ER group, I would say that due to its low staff, it is today highly vulnerable and it is quite critical and urgent to find a solution to retain both or at least one of the newly recruited Assistant Professors.

3. Recommendations for future practice: Possibilities/potential for development

As mentioned earlier, I am impressed by the quality and the diversity of the research done at RUC in general and especially in the Environment Risk group. I am also convinced that these types of strategic initiatives, which enable and somehow "force" scientists to collaborate over disciplines and help bridge natural sciences with social sciences, are the future way to go. RUC should be proud of its current model **for encouraging multidisciplinary research** through this initiative, and the model should be implemented at other universities as well (like at my home Stockholm University). An important recommendation for the future is that it is important that these types of strategic initiatives are well integrated with the new department structure, and that the department heads and boards are part of the process from the start to the end and that the RI is part of the long-term strategy of the department, especially when it comes to new faculty positions (this was unfortunately not the case for the ER initiative, due to the re-organization of the departments during the course of the initiative, which is part of the reason for the current insecurity in the group and in the new department).

Finally, I would like to thank Pro-rector Peter Kjaer and all the researchers and staff I met during my visit at RUC. Taking part of this evaluation has been a very interesting and an enjoyable experience.

Yours sincerely,

Prof Jonas Gunnarsson
Chair of PhD subjects in Marine Ecology and Ecotoxicology
DEEP sciences, Stockholm University, Sweden.

4. Annexes

Annex 1. Summary table over all the publications produced by the Environmental Risk group between 2013 and 2016.

The last column highlights the publications (36 in total, including 4 theses) that would not have been possible without specific funding support from the RI:

Publications from the Environment Risk group 2013 -2016

	2013	2014	2015	2016	Total	specific to the RI**
Nr of papers	39	33	44	2 (17)*	118	18**
Report & others	40	4	2		46	1**
Conference presentations	19	10	18		47	11**
Books	7	3	2		12	2**
Theses			4**		4	4**
Total						36

* (submitted or in prep)

** would not have been done without the RI

Annex 2. List of publications and activities **specifically enabled by the RI**, in bold letters the 3 researchers hired through the RI.

Papers:

- Cozzari, M., Elia, A. C., Pacini, N., Smith, B. D., Boyle, D., Rainbow, P. S., & **Khan**, F. R. (2015). Bioaccumulation and oxidative stress responses measured in the estuarine ragworm (*Nereis diversicolor*) exposed to dissolved, nano-and bulk-sized silver. *Environmental Pollution*, 198, 32-40. 10.1016/j.envpol.2014.12.015
- Dai, L., Banta, G. T., Selck, H., & Forbes, V. E. (2015). Influence of copper oxide nanoparticle form and shape on toxicity and bioaccumulation in the deposit feeder, *Capitella teleta*. *Marine Environmental Research*, 111, 99-106.
- Hansen, K., Pryor, S. C., Bøgh, E., Hornsby, K. E., Jensen, B., & Sørensen, L. L. (2015). Background concentrations and fluxes of atmospheric ammonia over a deciduous forest. *Agricultural and Forest Meteorology*, 214-215, 380. 10.1016/j.agrformet.2015.09.004
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Boriova, K., & Nielsen, S. L. (2015). *Bioakumulácia medi mikroskopickou riasou Chlorella vulgaris*.

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Nielsen, S. L., **Khan**, F., Banta, G. T., & Palmqvist, A. (2015). *Effekter af multiple stressorer på ålegræs (Zostera marina L.)*. Abstract from 18. Danske Havforskermøde, København, Danmark.

Nielsen, S. L., Palmqvist, A., **Khan**, F., & Banta, G. T. (2015). *Effects of anthropogenic and natural multiple stressors on eelgrass (Zostera marina)*. Abstract from 2015 Aquatic Sciences meeting (ASLO), Granada, Spanien.

Pedersen, M. F. (2015). *Heat response of Danish Saccharina latissima*. Abstract from 2015 Aquatic Sciences meeting (ASLO), Granada, Spanien.

Syberg, K., Dai, L., Ramskov, T., & Selck, H. (2015). *Mixture toxicity of PBT: Like chemicals: A relevant focus for future regulation?* Poster session presented at Setac Europe 25th Annual Meeting, Barcelona, Spanien.

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Thonig, A., Banta, G. T., Kesäniemi, J., Knott, K. E., & Hansen, B. W. (2015). *Population dynamics of the spionid polychaete Pygospio elegans in Isefjord and Roskilde Fjord*. Abstract from Dansk Havforskermøde, Copenhagen, Danmark.

Books:

Luoma, S., **Khan**, F. R., & Croteau, M-N. (2014). Bioavailability and Bioaccumulation of Metal-Based Engineered Nanomaterials in Aquatic Environments: Concepts and Processes. I J. Lead, & E. Valsami-Jones (red.), *Frontiers of Nanoscience*. (Vol. 7, s. 157-193). Kapitel 5. Elsevier Science. (Frontiers of Nanoscience). 10.1016/B978-0-08-099408-6.00005-0

Mouneyrac, C., **Syberg**, K., & Selck, H. (2015). Ecotoxicological Risk of Nanomaterials. I C. Amiard-Triquet, J-C. Amiard, & C. Mouneyrac (red.), *Aquatic Ecotoxicology: Advancing Tools for Dealing with Emerging Risks*. (s. 418-437). Kapitel 17. Elsevier Science.

Theses:

Svenningsen, S. R. (2015). *Spatial sources to the landscape: historical cartography and aerial photographs in geography and landscape research*. Roskilde: Roskilde Universitet.

Kaspersen, B. S. (2015). *The EU water framework directive: action programmes and climate change challenges*. Roskilde: Roskilde Universitet.

Jensen, A. T. (2015). *Copper oxide nanoparticle toxicity and bioavailability: implications of different exposure scenarios and biological endpoints*. Roskilde: Roskilde Universitet.

Hansen, K. (2015). *Atmospheric ammonia concentrations and fluxes above deciduous forests*. Roskilde: Roskilde Universitet.

Other activities supported by the RI:

Invitation of two guest professors. Teaching a MSc course in ERA. Seed money for several small research project.

Comments to the external review by Professor Jonas Gunnarsson (Stockholm University) of the Environmental Risk Strategic Research Initiative by coordinator Gary Banta

On behalf of the Environmental Risk Initiative we would like to start by thanking Jonas Gunnarsson in particular and all the external evaluators in general for their time, efforts and insights into both our specific research program, into the interplay and relationships between the different research initiatives and with the university as a whole. It was a constructive, enlightening and confirmatory process to be part of. Both the written evaluation and the discussions during and after the site visit were quite useful and rewarding.

We are very pleased with the Jonas' overall review and are happy that he confirmed both the relevance of the broad, interdisciplinary environmental science and societal topics we focused on. We are also pleased (and relieved) that he agreed that it was a good strategy to invest in the young researchers that we hired under the Initiative. We agree that they have been central to the successes of the Initiative, but directly via their own work and indirectly as catalysts and focal points for other researchers working on related topics. We also agree with Jonas' identification of the vulnerability of our relatively small group of researchers and the research efforts started if we are not able to sustain and institutionalize some of our new, key researchers. We also agree that incentives or other mechanisms (e.g., seed money) that support and entice researchers toward interdisciplinary collaboration are worthwhile and ultimately will be successful, even if not every project idea or individual attempt works out. The important thing is to maintain a research environment that supports, encourages and facilitates interdisciplinary collaboration on environmental topics. We further agree that such efforts align well with RUC's overall philosophy and strategic interests.

Given the support and confirmation provided by Jonas and the other reviewers, it is important to consider the future possibilities for continuing what was started by the Environmental Risk Initiative, despite the end of RUC's Strategic Initiative program. We are grateful for the funding received so far but acknowledge that, based on RUC's current financial situation, it will not be possible to expect university support at the same level. Still we would like to consider how to build further upon the efforts and results of the Initiative in the future.

We are very pleased that progress has already been made towards retaining and institutionalization our young key researchers with the opening of a permanent Assoc. Professor position in Environmental Risk. We also know that the new Dept. of Science & Environment and RUC's central research support personal are helping with ongoing applications for external funding and salary support for other young researchers in the Initiative. We very much appreciate this support and are glad that the Department and University continue to prioritize our research area and staff.

We have also considered wishes for a future organization and infrastructure for Environmental Risk now that the current Initiative and infrastructure are ending. We would like to continue in some form of organizational structure outside the current research group given that we still wish to support interdisciplinary collaboration among multiple research groups. This need is greater now that the two supporting research groups, Environmental Dynamics and METRIK, are now based in separate Departments. Furthermore, we think there is a need and good potential to further broaden interdisciplinary collaboration in regards to environmental issues beyond these 2 research groups and 2 Departments. We suggest that this collaboration should include and integrate both environmental research and teaching to a greater extent than done during the current Strategic Initiative Program. We suggest the

establishment of a RUC Environmental Risk or Interdisciplinary Environmental Studies Center (these are working names and others should also be considered during the establishment process) that transcends single research groups and Departments with the goal of facilitating and supporting interdisciplinary environmental research and teaching collaboration (Note, we feel that more traditional, disciplinary efforts in regards to environmental topics are already well supported with the current research group structure). We envision this Center ultimately developing into the natural (and hopefully renowned) meeting place, forum and “clearing house” for researchers, teachers and students, both from RUC and outside, working on environmental topics and issues with a wide range of scientific approaches. Building such a large and broad base of collaboration will take time and require more participants than currently involved in the Environmental Risk Initiative, but in the immediate future such a Center could host our current interdisciplinary research on microplastic pollution and our efforts to further develop the risk assessments of ecosystem services as two specific examples.

An alternative organization for Environmental Risk in the future would be to continue as a university strategic initiative or “area under development”. This would signal that this area is still growing and that the university is still investing in it and supporting its development. In most ways, other than the name, this would be operationally similar to the Center outlined above, although there is a difference in the signal value and how it will be discussed. There would also likely be differences in the expanse, with the latter being smaller. There are pros and cons of both choices and we are eager to continue our dialog with the University and Department leadership about which strategy to pursue. In both cases a moderate budget would be needed to be allocated to help facilitate Center activities and there should be appointed a dedicated coordinator or leader with their main focus on this center and the continued development of Environmental Risk (or what it will be called in the future) research efforts and direction. The need for continued support from the University for sustaining the good start that we and the other Initiatives has also been indicated by the external reviewers. We look forward to the next stage of Environmental Risk research at RUC, hopefully in collaboration with many.

Sincerely yours, Gary Banta

Designing Human Technologies

Self-Evaluation

Strategic Research Initiative: Designing Human Technologies, DHT (situated at CBIT¹, ENSPAC²)

Director: Professor Jesper Simonsen

Executive Summary

"Designing Human Technologies (DHT) has helped to establish Roskilde University as a preeminent research and teaching institution focused on designing technologies that reflect human concerns and societal opportunities. In addition, DHT has exemplified and fostered interdisciplinary collaboration through the processes by which projects were created and funded, and through the skillful management of the overall strategic initiative. The publication of two internationally acclaimed books and several well attended and reviewed PhD courses are testament to the enthusiasm and commitment shown by researchers aligned with DHT. Further, DHT has over-performed on all targets agreed on for its milestones which we believe will enable Roskilde University to continue to perform on an international stage with significant contributions to research focused on designing human technologies"

Jeanette Blomberg, Principal Scientist, IBM Research, California, member of the DHT Advisory Board

Finn Kensing, Professor, Copenhagen University, Denmark, member of the DHT Advisory Board

Designing Human Technologies (DHT) is a unique strategic research initiative that has gathered 75 researchers from 4 departments and 15 different research groups from Roskilde University in a collaborative effort to support the University's new Humanities and Technology bachelor programme ('HumTek'). The initiative has managed to establish a common research identity at Roskilde University among all academic resources with design interests. This is documented by two large book projects, *Design Research – Synergies from Interdisciplinary Perspectives* (Routledge, 2010, initiated prior to the formal establishment of DHT) and *Situated Design Methods* (MIT Press, 2014), which include contributions from more than a third of the DHT participants.

In summary, DHT met all its milestones, which contributed significantly to Roskilde University's ability to fulfill its development contract (2012–2014) with the Ministry of Higher Education and Science (cf. p. 9f. of the development contract regarding bibliometric research indicator points (BFI), external funding, and co-financed PhD students). The results include:

- 12 interdisciplinary projects all staffed with researchers from multiple research groups and/or departments, in total more than 40 researchers from 13 different research groups and four different departments. Four projects are continuing beyond the end of DHT in June 2016.
- More than 4 million DKK net return from external funding. The projects have paid back their costs (in DHT seed money) by almost 3 to 1 in net returns from external funding.
- A cross-departmental Nordic/International PhD program in Designing Human Technologies with an established faculty group, including 12 professors from 6 countries. The program is continuing, with annual PhD seminars beyond the end of DHT in June 2016.

The researchers affiliated with DHT are prepared to continue our joint collaboration if Roskilde University is ready to support this. Specifically, we offer to initiate a third book project where DHT – based on the experiences and results obtained so far – contributes to Roskilde University's strategy for the future. This book, tentatively entitled *Critical Interdisciplinary Design Research*, will elaborate Roskilde University's unique competencies in creating Mode 2 knowledge, i.e. interdisciplinary-based knowledge carried out in a context of application by a heterogeneous and heterarchical group of researchers in close participation with central stakeholders, committed to design socially accountable solutions to society relevant problems.

¹ The Department of Communication, Business, and Information Technologies (CBIT)

² The Department of Environmental, Social, and Spatial Change (ENSPAC)

Introduction

This self-evaluation report, requested by the Pro-rector of Roskilde University, has been written by Jesper Simonsen. The report is presented in a dedicated template and describes and evaluates the strategic research initiative *Designing Human Technologies* (DHT). DHT was formally approved by the Rectorship in February 2013. DHT was funded by Roskilde University with a 3,000,000 DKK grant for the period of 2013–2015. In 2015 this was extended to June 2016.

The report includes status and updates by the project responsible for all DHT's 12 projects (from November 2015). Drafts of the report has been discussed and reviewed by DHT's Advisory Board and Reference Group:

- Review of a first draft self-evaluation report provided by the Advisory Board on November 16th, 2015.
- A half-day retrospective workshop held with DHT's Reference Group and Advisory Board on November 16th, 2015.
- Review of a second draft self-evaluation report provided by the Reference Group on November 27th, 2015.
- Review of a third draft self-evaluation report provided by the Reference Group on January 11th 2016.
- Review of a third draft self-evaluation report provided by the Advisory Board in January 2016.

The following appendices are attached to the report, the first two of which (Appendix 1 and 2) are considered crucial for the evaluation of DHT:

1. Appendix 1: *List of DHT milestone activities*. This list includes all major accomplished activities as related to the agreed upon milestones for DHT. The list has been updated on an ongoing basis since the start of DHT in 2013 and has been used to provide an updated status of DHT for the steering committee and the Rectorship.
2. Appendix 2: *1-page description of each of the 12 projects*. The main part of DHT is the 12 projects. They are each presented in a uniform 1-page description that includes a short description, a list of participants and partners, internal and external funding, and (links to) research publications.
3. Appendix 3: *DHT-approved description 2013*. Description of DHT including milestones and budget approved by the Rectorship in February 2013.
4. Appendix 4: *List of affiliated professors (2007–2015)*. List of 73 professors from Roskilde University (not including administrative staff and PhD students) who have been affiliated with DHT since the first initiatives took place in 2007. The list shows the departmental and research group affiliation, as well as the participation of individual professors in key activities.
5. Appendix 5: *Historical documents from before 2013*. This includes two important documents:
 - a. Vision and strategy for Design Studies at Roskilde University (approved by CBIT in 2008)
 - b. Paa vej mod en designvidenskabelig forskningsplatform på Roskilde University [Towards a Design-Oriented Research Platform at Roskilde University]. The initial document (in Danish) is from November 2007.
6. Appendix 6: *Theorizing DHT. 1-page abstract and 4-page paper outlining a vision for DHT*. Proposal for a new and more focused joint research objective discussed during 2014.
7. Appendix 7: *DHT-blog 2013–2015*. Chronological list/overview of postings on the DHT blog (dht.ruc.dk) from 2013–2015.

Short description of the strategic research initiative (max. 2 pages)
<i>(History, context and raison d'être – overall ambitions of the research initiative)</i> <i>Designing Human Technologies</i> (DHT) is a design-oriented Strategic Research Initiative supporting Roskilde University's new Humanities and Technology bachelor programme ('HumTek'), and its three dimensions: design, humanities, and technology. The research initiative involves many researchers from different departments and research groups at Roskilde University through shared interdisciplinary research and educational collaboration. DHT is a design-oriented research area; it undertakes a broad definition of the concept of technology; and has as the basic human principle that users, target groups, and other central stakeholders must participate in the design and the design process, in ethical and society-related concerns, and in evaluating how designs fulfill needs and solve problems. The purpose is to "<i>establish and strengthen a common research identity at Roskilde University</i>" (Appendix 3: p. 1), comprising all academic resources with design interests. The goal for DHT is to become a new hallmark for Roskilde University by 2016 and at the same time to constitute one of Roskilde University's beacons in interdisciplinary research. The research initiative should create the best possible conditions for researchers to meet, exchange findings and experiences, set up collaborations and "<i>carry out joint projects across research groups and departments</i>" (Appendix 3: p. 1). The strategy is to enable the existing well-established research groups, representing the many different epistemological and ontological theories at Roskilde University, to enter into dialogue in order for synergies to develop. The focal point of the research initiative should be research. There should, however, also be support for the "<i>development of new graduate and PhD programmes</i>" (Appendix 3: p. 2) targeting the HumTek area. The history of DHT began at the CBIT department's Strategy Seminar in August 2007 where a group of researchers (Arne Thing Mortensen, Jan Pries-Heje and Jesper Simonsen) proposed a large initiative and focus area within what we initially labelled Practice-Oriented Design Studies. The reasons for starting such an initiative at that time was the establishment of the new HumTek Bachelor Program, due to begin in the fall of 2008. HumTek was the first new main subject area introduced to the University since 1972. Prior to that the main subject areas were in humanities, natural science and social science. HumTek had the potential of forming a "homeland" for the many research environments and studies at Roskilde University which are characterized by being design-oriented, normative, application-oriented, and innovative. Practice-Oriented Design Studies began as a grassroots initiative where we invited colleagues throughout Roskilde University to meetings and workshops. A list of design-interested <i>affiliated professors</i> at Roskilde University (Appendix 4) was established and maintained. At a one-day workshop held in the fall of 2007 an initial statement, <i>Towards a Design-Oriented Research Platform at Roskilde University</i> authored by Jesper Simonsen, John Damm Scheuer, Jørgen Ole Bærenholdt, Jan Pries- Heje, and Arne Thing Mortensen was distributed for discussion (see Appendix 5b) and as a result of the workshop a <i>Vision and Strategy for Design Studies at Roskilde University</i> was drafted by Jesper Simonsen and approved by CBIT in 2008 (see Appendix 5a). These documents emphasized the need to enable collaboration across different research groups and departments which later became the key strategy of DHT. A conference was held at Roskilde University in 2008 and a book initiative was established with author seminars that were co-funded (50,000 DKK) by the Rector. The result was our first joint book project "Design Research – Synergies from interdisciplinary perspectives" (Routledge, 2010). DHT was appointed as a Strategic Research Initiative [Danish: Satsningsområde] in 2012 by two

departments: CBIT and ENSPAC. CBIT funded the startup of DHT in 2012 with 140,000 DKK. In 2013 it was appointed as a strategic research initiative for Roskilde University for 2013–2015 with a total grant³ of 3,000,000 DKK. In 2015 it was extended to June 2016. When DHT began in 2013 there were 59 affiliated researchers: 36 from CBIT and 23 from ENSPAC. In 2015 DHT had 75 affiliated researchers from 4 departments and 15 different research groups. More than 40 researchers have actively participated in one or more of the 12 projects funded by DHT — and all of these projects are joint projects staffed with researchers across research groups and departments (a prerequisite for DHT funding).

Organization of DHT:

- Steering Group: (Rector, Head of CBIT, and Head of ENSPAC). The Steering Group was terminated in February 2014 when Roskilde University appointed a new Rector.
- Director: (Jesper Simonsen/CBIT). Vice-Director: (Michael Haldrup/ENSPAC). Michael Haldrup became associate professor at CBIT in 2014 and ENSPAC decided not to appoint a new Vice-Director.
- Reference Group representatives from the research environments/groups appointed by the Heads of CBIT and ENSPAC: Erling Jelsøe (ENSPAC/SMHF), Jan Pries-Heje (CBIT/UDI), John Damm Scheuer (CBIT/MITRAN), Jonas Larsen (ENSPAC/MOSPUS), Lisbeth Frølund (CBIT/DK), Sara Malou Strandvad (CBIT/VISPER), Thomas Budde Christensen (ENSPAC/METRIK). There has been one change to the Reference Group in that Lasse Martin Koefoed replaced Jonas Larsen in 2014.

Cross-cutting milestones to be fulfilled (max. 6 pages)

This section focuses on the products and results related to the “measurable” milestones of DHT. The activities related to each milestone are described in Appendix 1. The projects are listed in Appendix 1 and described in more detail (1-page description of each project) in Appendix 2.

DHT has eight milestones (see Appendix 3: pp. 7f). Four of these are described below as cross-cutting milestones and a further four are described in the following section as milestones specifically defined by the DHT.

1. Research production: Peer-reviewed publications (BFI) and other research publications

- Corresponds to DHT Milestone 6 in Appendix 3.
- Target measurable goal agreed for this milestone: “Increasing trend, min. 50 BFI points in 2016” (Appendix 3: p. 8).

Results (measured as the sum of BFI and sum of publications for DHT members provided by Roskilde University library):

- 2013: 119,4 BFI achieved from 96 peer reviewed publications. This accounts for 14% of the total BFI production at Roskilde University.
- 2014: 96,2 BFI achieved from 148 peer reviewed publications. Our book, *Situated Design Methods* (MIT Press, 2014), contributed more than 33 BFI.
- 2015: BFI not yet available. 103 peer reviewed publications.

A priority has been to fund activities that support research publication, such as participation in conferences with paper presentations, writing retreats, visits from international guests, language translation support (for participants who have not been familiar with international publications), etc.

³ CBIT and ENSPAC were additionally asked to fund DHT with 250,000 DKK/year from each department for 2013–2015. ENSPAC declined and at a steering committee meeting it was decided that CBIT would fund the total 750,000 DKK (2013–2015) and that this amount would be dedicated to activities undertaken by CBIT participants only. This amount is, therefore, not included in this evaluation report.

2. External funding/projects co-funded by the strategic research initiative

(e.g. number of applications, total funding, the role in the application e.g. coordinator/partner etc.)

- Corresponds to DHT Milestone 5 in Appendix 3.
- Target measurable goal agreed for this milestone: *"A minimum of DKK 1 million/year in external funding after 2013"* (Appendix 3: p. 8).

Results (measured by net research grants and net revenue for Roskilde University):

- 16 applications produced: seven approved, five declined, four still in progress.
- 4,356,989 DKK total external funding.

For a list of all 16 applications, including source of application, status, responsible researcher, related DHT project, and more, see Appendix 1.

3. Development of PhD activities/courses

- Corresponds to DHT Milestone 2 in Appendix 3.
- Target measurable goal agreed for this milestone: *"PhD programmes in Designing Human Technologies will be generated at Roskilde University"*
 - *Cross-departmental (Roskilde University) PhD programme generated*
 - *Nordic PhD network set up*
 - *Nordic PhD design course commenced and held at Roskilde University/"Søminestationen"* (Appendix 3: p. 7).

Results:

- A Cross-departmental (CBIT/ENSPAC) PhD program in Designing Human Technologies established with a faculty of 12 professors from 6 countries. The program is staffed with an international faculty staff including all four Nordic countries, Estonia, and Italy.
 - DHT 1.0 held May 26–28 2013, held at Roskilde University's Sømine station (14 PhD students from six countries).
 - DHT 2.0 held May 18–20 2014, held at Roskilde University's Sømine station (20 PhD students from seven countries).
 - DHT 3.0 held May 10–12 2015, held at Roskilde University's Sømine station (25 PhD students from 10 countries. Forty-one applications received).
 - DHT 4.0 announced for May 23–25 2016, to be held at Roskilde University's Sømine station.
 - DHT 5.0 planned for 2017, to be held at Tallinn University, Estonia.
 - DHT 6.0 planned for 2018, to be held at University of Trento, Italy.
- Three additional PhD courses, co-funded by DHT, held in 2012, 2013 and 2015.

4. Institutionalization of the research groups/teams within the research initiative

- Corresponds to DHT Milestone 1 in Appendix 3.
- Target measurable goal agreed for this milestone: *"Institutionalizing the research initiative to ensure its sustainability also after 2016. The centre is organized and manned at year-end 2015"* (Appendix 3: p. 7).

In 2014 the Reference Group decided to decline the initial goal of establishing a "center" as this construction seemed too unambitious and vague. Instead, we suggested continuing with DHT having the status of a University strategic research initiative. This request was forwarded to the Pro-rector at a meeting in February 2015. At this time DHT's status after 2016 could not be decided by the Pro-rector, because of the need to await (1) The new strategy for Roskilde University 2016–2020; (2) the reforming of the departments of Roskilde University in 2015; and (3) the evaluation of the strategic initiatives, including DHT.

In August 2015, a reform of the departments of Roskilde University was decided upon, changing the University organization into four large departments. This negated our effort to continue as a strategic

initiative (as our chosen alternative to a research center) by “institutionalizing” DHT as part of the new department dedicated to the HumTek bachelor program: From January 1st 2016 DHT will de facto be institutionalized as Roskilde University’s new department, “People and Technology”.

Approximately half of the participants from DHT will join “People and Technology” dedicated to the HumTek bachelor program. The other half will join the new departments dedicated to the Humanities and Social Science bachelor programs (Appendix 4 list the departments for all affiliated professors). There is a commitment to continue even though many people are now moving into different departments, and we are currently planning a third book project in line with the key initiatives DHT undertook to support an institutionalization of the research groups/teams within the research initiative:

- Establishing and supporting joint projects staffed with researchers across research groups and departments.
- More than 30 of the researchers who participated in the two former book projects (Routledge 2010 and MIT Press 2014) will, in 2016, be located in three new departments.

Specific milestones defined by the research initiative (max. 4 pages)

Projects across existing research groups and departments

- Corresponds to DHT Milestone 3 in Appendix 3.
- Target measurable goal agreed for this milestone: “*Projects across existing research groups and departments. Completion of a minimum of four projects*” (Appendix 3: p. 7).

A 1-page description of all 12 projects is given in Appendix 2.

Results:

- 2013–2015 12 projects established:
 - Initially, in the spring of 2013, four projects were established: Clinical Communication, Situated Design Methods, Design of Feedback-based E-decisions, and Experimental Museum Exhibition Design.
 - In the fall of 2013, three projects were established: Future Zone, Network for Design of Robust Organizational Change, and Social Interaction around Installations.
 - In 2014, four projects were established: Curating Sustainability, Design of MOOC, Italian Drawings, The Robust Organizational Translation Network.
 - In 2015, one project was established: Design of Working Life in Temporary Projects.
- In 2015 four projects were completed.
- By June 30th 2016 four additional projects will be completed.
- Four projects have resulted in sustained initiatives and will continue beyond the end of DHT in June 2016:
 - Experimental Museum Exhibition Design
 - Network for Design of Robust Organizational Change
 - Clinical Communication
 - Italian Drawings
- All 12 projects have been staffed with researchers across research groups or departments (a prerequisite for DHT funding).

Internal/external profiling

- Corresponds to DHT Milestone 4 in Appendix 3.
- Target measurable goal agreed for this milestone: “*Active website containing contributions from all participants on an ongoing basis*” (Appendix 3: p. 8).

Results:

- Official Roskilde University DHT website with updated list of participants, publications, and press cuttings in Danish version (www.ruc.dk/dht) and English version (www.ruc.dk/en/dht).
- Active DHT blogsite with updated information on all projects, PhD courses, conferences, etc., as well as regular blogs in both Danish and English (dht.ruc.dk).

- Weekly electronic newsletters in English (2013–2015) delivered to more than 200 subscribers.
- Blog statistics of the size of uploaded text and pictures (excluding video): 2012: 39MB; 2013: 451MB; 2014: 395MB; 2015 (Jan–Oct): 130MB.

Appendix 7 presents a chronological list/overview of postings on the DHT blog (dht.ruc.dk) from 2013–2015.

As an additional profiling of DHT we have handed out 500 free copies of our book *Situated Design Methods* (MIT Press 2014) to DHT participants and colleagues, including more than 300 international participants of the SCIS/IRIS 2014 and PDC 2014 conferences.

Support for program development

- Corresponds to DHT Milestone 7 in Appendix 3.
- Target agreed for this milestone: “*Presentation on research-based potential for new subject-integrated graduate programmes*” (Appendix 3: p. 8).

Support for program development (e.g., new education) was a focus of debate when the strategic initiatives were established. For some time it was unclear whether the strategic initiative should focus on research or should also include the development of new graduate programs. DHT initially included this milestone expecting that the development of programs would be a requirement. However, early in 2013 it was finally decided that DHT (and the other strategic initiatives) should focus exclusively on research. At our meeting with the steering committee in February 2013 — where DHT was finally approved — we decided to keep the milestone in the text (see Appendix 3: p. 8) but not to fund it (budget was set to 0 DKK). Thus the milestone described a vague target goal which the steering committee agreed not should be prioritized: The milestone should be interpreted as, “We will inform attempts to make new subject-integrated graduate programs with research-based potential from DHT”.

Results:

- Roskilde D.School: Application for a new integrated Master of Education in Design and Innovation. The application was approved by CBIT in 2013 and forwarded to Roskilde University where, in 2014, it was put “on hold”.
- Book targeted for HumTek responding to students’ requests for a method oriented book on how to conduct design-oriented projects: *Situated Design Methods* book project (MIT Press, 2014).

International conferences at Roskilde University

- Corresponds to DHT Milestone 8 in Appendix 3.
- Target measurable goal agreed for this milestone: “*A minimum of two conferences to be held between 2012–2015*” (Appendix 3: p. 8).

Results:

- Four conferences co-organized and co-funded by DHT, two held on the Roskilde University campus:
 - The 12th biennial Participatory Design Conference, PDC’2012, Roskilde University, Roskilde, 12–16 August 2012. 225 participants. pdc2012.org
 - The 7th Danish Association for Science and Technology Studies conference, DASTS’2014, Roskilde University, Roskilde, 12–13 June 2014, Theme: Enacting Futures. (Danish conference with international key-notes). 80 participants. www.dasts.dk/?p=2479
 - Fluid States — Fluid Sounds, Amager, Copenhagen, 18–21 June 2015. 75 participants. fluidsounds.ruc.dk
 - SCIS/IRIS’37: The 37th Information Systems Research Seminar in Scandinavia (IRIS’38) in conjunction with the 5th Scandinavian Conference on Information Systems (SCIS), Sørup Herregaard, Ringsted, 10–13 August 2014. Theme: Designing Human Technologies. 100 participants. iris2014.aau.dk

Lessons learned – reflection on strengths, weaknesses and challenges (max. 3 pages)

Many lessons learned could be presented and reflected on. Below are five lessons that were all highly rated at the retrospective workshop held with DHT's Reference Group and Advisory Board on November 16th, 2015.

1. Initiating new interdisciplinary projects and activities is inexpensive and cost-effective

Perhaps the most interesting lesson learned from DHT is how little internal seed money is required to initiate a tremendous amount of interdisciplinary activity and production. DHT has initiated 12 interdisciplinary projects all staffed with researchers from multiple research groups and/or departments, in total more than 40 researchers from 13 different research groups and four different departments. These projects have been initiated for less than 1.7 million DKK equaling an average cost of 138,000 DKK per project. In return, the projects have so far (December 2015) provided more than 4 million DKK net return from external funding: an average of 363,000 DKK per project. The high number of projects is a result of a true interest in establishing new interdisciplinary initiatives combined with a swift, easy, and non-bureaucratic access to seed money that both stimulates the motivation and provides the small amount of help needed to start new initiatives in a very busy working life. Three important insights from this lesson were:

- a. Only a small amount of seed money is needed to start new interdisciplinary projects.
- b. The projects paid back the costs by almost 3 to 1 in net return from external funding.
- c. Applying to external funding sources for this kind of seed money for interdisciplinary projects is difficult and complicated and this works as an effective barrier: The University should, therefore, provide seed funding if multiple new interdisciplinary initiatives are desired.

The low level of seed money is a result of not funding University staff to buy out teaching time for research but only supporting expenses such as equipment, meetings and seminars, guest entertainment costs, layout and printing of books, and hiring students or research assistants for specific task assistance (programming and development assistance, meeting facilitation, interviews, transcribing, etc.).

The external funding from the projects reflect a high number of funding applications. This demonstrate a motivation not only to initiate new projects but to scale and sustain the project after they have been established.

Four projects have resulted in sustained initiatives continuing beyond the end of DHT in June 2016:

- Clinical Communication
- Experimental Museum Exhibition Design
- Italian Drawings
- Network for Design of Robust Organizational Change.

2. Establishing a shared "identity" and "language" fosters commitment and collaboration

The two book projects, *Design Research – Synergies from interdisciplinary perspectives* (Routledge, 2010, initiated prior to the formal establishment of DHT) and *Situated Design Methods* (MIT Press, 2014), have ensured a commitment to a shared project with a concrete result and a number of events that provided the best possible conditions for us to meet and exchange our research and our experiences. These projects have been important in developing a shared language and creating mutual acknowledgement of our different approaches and disciplines. They have provided the foundation for our collaboration in joint projects across research groups and departments. Furthermore, they have provided the participants with a valuable platform for international publishing.

In terms of international publications, an important lesson was the value of having a large group of researchers (25 DHT participants in the MIT Press publication) working together on a concrete shared product. The motivation was enhanced because students from the University's new Humanities and Technology bachelor program requested the book. This effectively providing a display window for *how* we conduct interdisciplinary design research both externally and internally. Another important motivation for our high ambitions was the outstanding review comments provided by the international

reviewers and the senior editor of MIT Press (see the project description in Appendix 2). This created significant symbolic value and pride in being a participant of DHT and a researcher from Roskilde University, and we therefore decided to use the book as a key product for our external profiling by providing a free copy to some 300 participants at two international conferences (the SCIS/IRIS 2014 and PDC 2014 conferences).

The impact from both book projects on establishing a shared “identity” and “language” may be illustrated by the fact that:

- The concluding chapter of the Design Research (Routledge, 2010) book, depicted in a figure often referred to at various presentations and lectures (Figure 14.2, p. 205), was used as a reference when we formed the study program for the HumTek bachelor program. The main point from this model is directly written into the competence requirements in the study curriculum (cf. the competence requirements of the mandatory “profile” courses described in article 24).
- The Situated Design Methods book project (MIT Press, 2014) was identified as the single most important activity of DHT during the retrospective workshop held with DHT’s Reference Group and Advisory Board on November 16th, 2015.

The costs of the book projects have been low even though they included several two-day seminars for the authors. Using Roskilde University’s Sømme station facility for this purpose reduced the cost for the Situated Design Methods book project (MIT Press, 2014) to 60,000 DKK. The cost for the Design Research book project (Routledge, 2010), 50,000 DKK, was granted by Roskilde University after we had an external funding application rejected on the basis that the University was expected to fund such book projects.

The legacy of these book projects will also be sustained beyond the end of DHT in June 2016, and we are currently planning a third book project tentatively entitled “Critical Interdisciplinary Design Research.”

3. PhD initiatives fostered community building

The cross-departmental (CBIT/ENSPAC) Nordic/International PhD program in Designing Human Technologies has been an annual event that has gained increasing international interest with 41 applications from 10 different countries in 2015. A faculty group has been established with 12 professors from 6 countries and we are committed to continue this PhD program with seminars once a year: DHT 4.0 will be held in May 2016 at Roskilde University’s Sømme station co-organized by Aalborg University; DHT 5.0 is planned for 2017, to be held at — and co-organized by — Tallinn University, Estonia; DHT 6.0 is expected to be held in 2018 held at — and co-organized by — the University of Trento, Italy. We are applying for funding after 2016 through the Erasmus+ key action 2 program (see Appendix 1).

The high interest by international PhD students and the commitment from the established faculty group demonstrate a key lesson learned: there is a need for this interdisciplinary PhD initiative within the area of Designing Human Technologies and the chosen strategy has worked well in supporting a sustained international DHT community.

“It was one of the best education-related experience I ever had. As well as being a friendly and inspiring gathering, the feedback from peers and experts was invaluable in helping me find the way forward for writing up my doctoral work.”

Lisa Haskel, Bournemouth University

“I was quite worried that the feedback I get would be critical rather than constructive but the experience itself turned out to be so incredibly calm and relaxed [...] The atmosphere that the location and people created made this course unlike anything I have ever encountered. DHT 2015 has set the bar high for the PhD event community.”

Katarina Gorkovenko, University of Dundee

The strategy for community building has been to establish a relatively large and stable faculty group along with re-inviting PhD students that had participated in a previous seminar (on 13 occasions PhD students succeeded in participating in two consecutive seminars). The format for the seminar has emphasized the broad perspective of DHT via lectures given by faculty, along with 60 minutes sessions given for each PhD with constructive reviews of the student’s proposal — reflecting the spirit of student supervision known from Roskilde University’s project based education. A friendly and informal

atmosphere at the seminars has accompanied this, where faculty staff and students have had intense discussions during session but also during breaks, lunch, dinner, etc. This strategy has given the students' discussions and responses to their thesis in a "DHT direction" and it is an experience where they meet a forum of faculty professors who also are interested in community building and learning from each other.

4. Difficult to find support for large focused joint research projects

At our Advisory Board meeting in September 2013 we discussed the possibility of preparing a large-scale research proposal for DHT aimed at the 8th Call for new Centers of Excellence provided by The Danish National Research Foundation. It was concluded that this would require a focused joint research objective for DHT. A proposal for a new and more focused joint research objective was suggested and discussed during 2014. The proposal included a description of DHT and our experience so far with this strategic initiative (see Appendix 6). This was presented at a number of international events, including the Mobility and Design workshop held in Lancaster in May 2014, the DASTS conference in Roskilde in June 2014, a keynote at the IRIS/SCIS conference held in Ringsted in August 2014, and, finally, published and presented at the OZCHI'2014 conference in Sydney, December 2014. The presentation of DHT and the vision for DHT at these international venues received interest and recognition.

The proposal was presented at an internal DHT research seminar in June 2014 and, during the fall of 2014, it was discussed at three consecutive DHT research seminars. There was a clear interest in continuing DHT and the vision for DHT, also beyond 2016, but we could not reach a consensus for the proposed focused research objective. It was finally concluded that we are unable to identify a focused joint research objective for a large application that included a large group of DHT participants. This reflects the challenge of balancing individual and small group goals/rewards/interests with large-scale group goals/rewards/interests.

5. Managing large and diverse groups of researchers requires building processes

From its inception back in 2007, DHT has been managed as a participatory bottom-up initiative where the researchers could "direct their energy into a kind of maelstrom and field of gravity", as one of the Reference Group members described it at the retrospective workshop in November 2015. The key principles have combined Roskilde University's tradition and values of a problem-oriented and participant-directed research approach with a modern participatory design and design process orientation including ethical and contemporary society-related concerns. The strategy for supporting collaboration within DHT's large and diverse group of research colleagues has relied on building processes rather than cooperation structures and can be summarized as:

- Concentrating on joint projects staffed with researchers across research groups and departments (a prerequisite for DHT funding).
- Stimulating publications and large-scale (in time and number of participants) joint research book production projects.
- Establishing a safe atmosphere during meeting, seminars, etc., contributing to a relaxed, productive, and positive academic environment.

A lesson from managing DHT may be outlined in the following quote:

"An important lesson learned is that the success of a project of this magnitude and complexity is highly dependent on the assignment of a project manager with excellent leadership as well as management skills. [...] Meetings in the Designing Human Technologies Reference Group have always been very well prepared. Tables and overviews making it easy to track the different activities of DHT, practically as well as economically, have been presented just as workable suggestions for handling all the different and complex problems and decisions that had to be made was prepared [...] in advance to the meetings making it very easy to make "the right" or find "workable" decisions as a Reference Group member. I think that in future similar types of projects it should be remembered that not all researchers possess such excellent skills as project managers but that they are, however, highly needed in order to assure the success of such a project."

John Damm Scheuer, member of the DHT Reference Group

Evaluation of Strategic Research Initiatives at Roskilde University

Guidelines for the evaluator's report

The strategic research initiatives grew out of an ambition to boost of RUC's research through an investment in research areas and groups with a potential for development and a possibility to evolve into future strength positions within and across departments.

The evaluation should describe the results of RUC's investment in strategic research initiatives:

- Which immediate results have the strategic research initiatives created?
- To which extent have the strategic research initiatives been able to realize their potential?
- Which future possibilities for development can be seen in the four areas?

The aim of the evaluation is partly to make a survey on the outcome for RUC in general – and each of the research areas in specific – from focusing on the four strategic research initiatives (Global Dynamics; Environmental Risk; Designing Human Technologies; Power, Media and Communication), partly to collect different experiences with organizing collective and interdisciplinary research initiatives.

Your individual report should consist of the 3 elements mentioned below.

Your evaluation report should fill 3-5 pages in all.

Evaluation of Strategic Research Initiatives at RUC

Strategic Research Initiative	Designing Human Technologies
Evaluator (name and university)	Robert Winter, University of St. Gallen

I. Comments on your specific research initiative: Outcomes and realization of potential

Objectives

The objectives of all four (selected from 13 proposed) Strategic Research Initiatives (SRIs) have been

- To bring together researchers from RUC's well-established research and education areas in **new networks**.
- To invest in research areas and **groups** (not in single researchers).
- To strengthen **interdisciplinarity**.

SRIs were expected

- To establish their respective fields as research areas of repute, nationally and internationally. This means that RUC support was meant as "seed money" for establishing a **sustained** initiative.
- To be **recognized** by external stakeholders as being specific for RUC.
- To stimulate research **publication** (measured in BFI points).

Later also the establishment of **Ph.D. activities** was added to the expectations.

"Designing Human Technologies" (DHT) is a design-oriented SRI supporting RUC's new "Humanities and Technology" bachelor programme (HumTek) and its three dimensions: Design, Humanities, and Technology. In support of HumTek, DHTs instantiated the generic SRI objectives as

- To establish a scientific identity.
- To establish a research-driven environment.
- To establish an engaged and consistent group of academic staff pursuing a shared objective.

Performance

Sustainability: By linking DHT to HumTek, important elements of momentum and sustainability were achieved by design. Even after the completion of the "seed money" phase, the continued existence of HumTek will create a need for DHT follow-up projects - and vice versa. In addition, many of the DHT showcase projects succeeded in acquiring significant third-party funding which at least in some cases can replace RUC "seed money".

Interdisciplinarity: Traditionally, research at RUC was analytical / descriptive and organized in disciplines like humanities, social sciences and natural sciences. For design-oriented teaching and research, a new, interdisciplinary "home" (subject area) was successfully created. In contrast to traditional research, research "by design, for design and into design" is normative, constructive, solution-oriented, and requires active researcher involvement. Solution orientation and human orientation create a specific challenge: Not only needs design teaching, but also design research to integrate many traditional disciplines. While HumTek provided a first, teaching-oriented integrative platform, the recent re-organization of departments at RUC was an important step to move from traditional, disciplinary structures into a more problem-oriented organization – that might also been viewed as being supported by the SRIs.

Recognition: Regarding research content, DHT identified three central "Issues/Themes":

- Development and design of socio-technical systems.
- Aesthetics, experience and learning.
- Design as a scientific method.

Instead of investing in new faculty, the DHT leadership decided to invest into (a) “beacon” projects along these issues/themes, into (b) two integrative book projects and into (c) establishing an integrative Ph.D. event.

- (a) I had a chance to talk to representatives involved into four (of the 12) DHT projects and to study their scientific outcomes as well as their tangible results (Experimental Museum Exhibition Design, Network for Design of Robust Organizational Change, Clinical Communication and Italian Drawings). These four projects nicely represent DHT’s range from humanities to information systems and organizational science. All projects were able to acquire external funding, although the range is from very small to very large amounts. The projects nicely illustrate how “insight” is transformed into “impact”, notably also impact with local institutions (Viking Ship Museum, Ribe Kunstmuseum), Danish companies and the health care system of Zealand. Researcher teams mostly had not collaborated before the SRI. Most projects were already able to serve as a case / experience base for publications.
- (b) The two books “Design Research – Synergies from interdisciplinary perspectives” (Routledge 2012) and “Situated Design Methods” (The MIT Press 2014) directly address the three central DHT issues/themes. Although during that early phase of thematic integration a “bottom-up” consolidation is clearly visible, the books also provide fundamental integration models for DHT and in particular HumTek. A very large portion of the DHT participants contributed to these two edited books, thereby helping to create shared identity and language. The books also helped to address the issue/topic “Design as a scientific method”.
- (c) For the ca. 40 Ph.D. students involved in DHT, a series of annual **Ph.D. events** has been created that now attract not only a growing number of external Ph.D. students, but also are planned to be held outside Denmark as a Nordic initiative. According to my discussion with actual Ph.D. students, they appreciate the active involvement of senior researchers, the momentum of a new interdisciplinary initiative and the “drive” that is created by being involved in one of the mentioned DHT-sponsored projects. The DHT Ph.D. events clearly helped to build an interdisciplinary junior researcher community.

In summary, the three core activities succeeded substantially to create internal and external recognition for RUC in a newly developed field. Much more than few additional faculty could have achieved it, DHT disseminated outcomes to diverse stakeholders ranging from local institutions (by projects) and Danish companies/administration agencies (by projects) to national and international peers (by books, Ph.D. education).

Publication output: Regarding publications, the outcome of a “seed money” period of few years (2013-current) cannot be solely measured in terms of highly ranked journal publications. As this type of publications often takes several years of revisions and results need some time to be created and documented, it is no surprise that the volume of highly ranked DHT publications is small. In addition, interdisciplinary work is hard to publish in traditional, highly-ranked (and usually disciplinary) journals. Nevertheless there is a number of publications in reputed journals currently under review or being prepared. A lot of results have been published online (project web sites) or been presented at conferences. Also the book publications created a good number of DHT-related publications. Compared to a large monolithic programme or a longer strategic initiative, the overall quantity and quality of publications, although meeting the shared milestones, is naturally smaller.

The qualitative assessment of the central objectives group-building, interdisciplinarity, establishing a sustained initiative, achievement of recognition, creation of high-quality publication output and creating Ph.D. activities is complemented by a short review of the shared KPIs in the following.

1. Research production: Peer-reviewed publications (BFI) and other research publications
 - Target measurable goal agreed for this milestone: "Increasing trend, min. 50 BFI points in 2016" (Appendix 3: p. 8).
 - Over-accomplished (ca. 120 points in 2014 and close to 100 points in 2015).
2. External funding/projects co-funded by the strategic research initiative (e.g. number of applications, total funding, the role in the application e.g. coordinator/partner etc.)
 - Target measurable goal agreed for this milestone: "A minimum of DKK 1 million/year in external funding after 2013" (Appendix 3: p. 8)
 - Massively over-accomplished (over 4 million DKK).
3. Development of PhD activities/courses
 - Target measurable goal agreed for this milestone: "PhD programmes in Designing Human Technologies will be generated at Roskilde University
 - Widely accomplished: Courses (not really a Ph.D. programme) have been created; a Nordic PhD network has been built.
4. Institutionalization of the research groups/teams within the research initiative
 - Target measurable goal agreed for this milestone: "Institutionalizing the research initiative to ensure its sustainability also after 2016. The centre is organized and manned at year-end 2015" (Appendix 3: p. 7).
 - A center has not been established due to RUC reorganizations. Ca. 50% of DHT researchers joined "People and Technology", a new unit dedicated to the HumTek bachelor program. To some extent, "People and Technology" can therefore be regarded as an institutionalized form of the DHT initiative.
5. Projects across existing research groups and departments
 - Target measurable goal agreed for this milestone: "Projects across existing research groups and departments. Completion of a minimum of four projects" (Appendix 3: p. 7).
 - Over-accomplished. 12 projects staffed with researchers from different groups have been started. While most of them are completed now, four will be continued after the end of the DHT seed period.
6. Internal/external profiling
 - Target measurable goal agreed for this milestone: "Active website containing contributions from all participants on an ongoing basis" (Appendix 3: p. 8).
 - Accomplished. Active DHT web site and DHT blog established and maintained. Books edited and distributed.
7. Support for program development
 - Target agreed for this milestone: "Presentation on research-based potential for new subjectintegrated graduate programmes" (Appendix 3: p. 8).
 - This milestone was dropped based on strategic considerations (e.g. concentrate on research activities). Design Master programme started to be developed, but not implemented.
8. International conferences at RUC
 - Target measurable goal agreed for this milestone: "A minimum of two conferences to be held between 2012–2015" (Appendix 3: p. 8).
 - Accomplished. Two DHT-related conferences held at RUC, two other conferences with major contributions (and visibility) of DHT researchers.

Based on the qualitative and quantitative discussion, it can be stated that the DHT SRI was a good success in terms of (a) achieving or over-achieving the strategic objectives of the institution, (b) providing value to the participating RUC researchers (an interesting ground for activities outside their disciplinary home), and (c) creating impact for local and external stakeholders and (d) really integrating research and teaching in an innovative, attractive and emerging field – especially in the light of the moderate investment by RUC.

II. Further observations concerning the strategic research initiatives more generally

The DHT strategy to invest in projects, in building a shared identity and language (by writing books) and in building a Ph.D. student (and supervisor) community appears to successfully address the challenge of adding a new, interdisciplinary platform to the existing disciplinary platforms, i.e. motivating researchers to balance individual and small group goals/rewards/interests (e.g. disciplinary reputation) with institution-wide goals/rewards/interests – and this was achieved with very limited funds.

Compared to other SRIs at RUC (but without having made an in-depth assessment of these other SRIs), the DHT approach seems to better have been able to create a sustained, productive and visible platform.

However, even more might have been achieved if

- An even tighter integration of DHT research and DHT teaching had been possible (HumTek bachelor, HumTek PhD programme – and a HumTek Master!) and respective DHT-centred institutions would have been created, thereby evolving into transdisciplinary structures and allowing to create even more synergies between innovative teaching and unique research position.
- An integrated research project portfolio would have been supported “beyond seed money”, e.g. by large-scale interdisciplinary research funding on a National scale (like the “Sonderforschungsbereiche” that are funded by Deutsche Forschungsgemeinschaft in Germany, or the interdisciplinary funding programme of the Swiss National Fund).
- Problem-oriented, normative research would be treated on the institutional level to be at eye level with traditional, analytic descriptive research. Although accreditation organizations like AACSB have recently put much more emphasis on the impact of research and teaching, many institutions are still regarding only descriptive research as scientific activity, and all problem-oriented activities as inferior.

III. Recommendations for future practice: Possibilities/potential for development

The four SRIs have been created in the context of a traditional disciplinary organizational structure that has changed in the meantime. Teaching-based integration – and maybe the community-building efforts of some SRIs – paved the way for an amended organizational context that comes closer to the interdisciplinarity objective behind the SRI initiative.

As a consequence, DHT needs to re-assess its positioning and may need to re-adjust to the new organizational setup. Since 50% of the DHT researchers joined the new “People and Technology” department, it may be a good start to analyze

- How DHT should adapt its positioning in order to even better match the “People and Technology” positioning.

- How an evolution of HumTek teaching and in particular an evolution of teaching at the Master level could lead to a better fit of teaching and research structures.

A dialogue between the leadership of the “best matching” department and the SRI will certainly help both sides to clarify synergy potentials and identifying mutual adjustment needs. While it is natural to differentiate between resource management (departments) and delivery management (teaching and research programmes) in a University, more alignment will certainly increase synergies and overall performance.

While the ongoing DHT projects will secure a decentral “survival” of some DHT ideas, such external project funds cannot be used (formally and in terms of volume) to support internal integration objectives like continuing with the Ph.D. community, continued methodological integration (further books) and funding new DHT projects that complement the portfolio. There are even threads that basic decentral activities like journal publications on DHT core topics cannot be continued if, e.g., travel funds for conference participation are drastically reduced as planned. As a consequence, as a means to secure the impact of the SRI seed financing, at least a fundamental sustained financial support should be provided.

As the analysis of the 2013-2016 period shows that much can be created with limited amounts, it can be concluded that much can be maintained with even smaller amounts – but much will be lost if things are completely discontinued.

The future of DHT

This is a short note in response to the evaluation report by Robert Winter on Roskilde University's strategic research initiative (SRI), Designing Human Technologies (DHT), addressing the request from the rector's office to: "Briefly reflect upon his observations in terms of how you see the future of your strategic research initiative: What actions (at the level of your SRI, at the level of department and at the RUC-level) are needed to maintain the strength and momentum of the SRI? (up to 1 page)."

The evaluation report by Professor Robert Winter has been discussed by DHT's reference group, and our appraisal is that it aligns well with our views of DHT. The report recognizes that "50% of the DHT researchers joined the new 'People and Technology' department" (DPT), and it further recommends that we analyze "[h]ow DHT should adapt its positioning in order to even better match the 'People and Technology' positioning" (p. 5).

Roskilde University's new departmental structure strengthens the overall teaching responsibility in the four main subject areas, with the DPT being responsible for the bachelor's program in humanities and technology ('HumTek'). However, it is practically impossible to devise a structure that binds the bachelor's program with a particular group of subjects in a way that is professionally consistent with the content of the subjects of these programs. This is reflected in the fact that 50% of the DHT faculty members are *not* within the DPT but reside within the Department of Communication and Arts (including the bachelor's degree subjects in performance design and communication) and the Department of Social Science and Business (including the bachelor's degree subject in business studies). DHT members from these two departments have voiced the concern – and risk – that the ownership of a future DHT initiative resides within the DPT and that, in terms of teaching, they might be marginalized as part of the HumTek programs. This will not be in the interest of Roskilde University nor in the interest of a highly interdisciplinary research effort such as DHT. Most projects within DHT have been staffed with faculty across the DPT and the departments of Communication and Arts and Social Science and Business; this is the case with all the four ongoing DHT projects highlighted in the Robert Winters report.

We see the following future possibilities for DHT:

1. DHT is completely discontinued. Here, we quote from Robert Winters report: "While the ongoing DHT projects will secure a decentral 'survival' of some DHT ideas, such external project funds cannot be used (formally and in terms of volume) to support internal integration objectives like continuing with the Ph.D. community, continued methodological integration (further books) and funding new DHT projects that complement the portfolio. There are even threads that basic decentral activities like journal publications on DHT core topics cannot be continued if, e.g., travel funds for conference participation are drastically reduced as planned" (p. 6).
2. DHT is closely linked to the DPT. While this might seem appropriate from a teaching responsibility perspective, it is limiting from an interdisciplinary research perspective, as described above. It is also unclear to which extent – if at all – the DPT will be able to support DHT research as a prioritized research area among the other research areas within the DPT.
3. DHT continues as a university strategic research initiative. This would be the most optimal situation from the perspective of DHT faculty members who are now positioned in the departments of Communication and Arts and Social Science and Business.

We acknowledge that Roskilde University is currently in a very difficult financial situation. *We thus recommend that DHT continues as a university strategic research initiative on a modest scale:*

- We request an initial modest support to continue with a third book project, as suggested in the DHT self-evaluation report. This book project is planned specifically to support Robert Winters request to analyze "[h]ow an evolution of HumTek teaching and in particular an evolution of teaching at the Master level could lead to a better fit of teaching and research structures" (p. 6). The project will examine how we teach and work with design, participation and involvement in order to contribute to rethinking how we didactically develop our university teaching.
- We also request approval that DHT continues as a university strategic research initiative to be supported with dedicated funding from Roskilde University when the economic situation hopefully improves in the coming years.

□

Global Dynamics

Self-Evaluation

Strategic Research Initiative: The Dynamics of Globalisation, Inequality and New Processes of International Interaction (situated at ISG/ISE)

Leader in charge: Professor Laurids Sandager Lauridsen, ISG (ISE)

Short description of the strategic research initiative

1. The objective of the research priority area

The research activities on “The Dynamics of Globalisation, Inequality and New Processes of International Interaction” (hereafter Global Dynamics or GD) has intended to bring together and strengthen research activities on processes of globalisation in joint efforts among scholars from several Departments at RUC. The thematic focus has been on three broad areas:

- New global actors
- Dynamics of fragility and struggles over public authority
- Global inequalities

These three topical issues are in urgent need of investigation and research: the shifting balance of economic and political power in a rapidly changing world as well as new social actors including the impact of new social media, were dimensions of the new social realities at global, national and regional level; dynamics of fragility lead to struggles over public authority in many parts of the world and challenge a state-centred view of the world; and processes of globalisation produce not just income inequality but also new social and political inequalities along dimensions such as gender, ethnicity and religion that have challenged the existing social order and fuelled new collective responses.

The three issues cannot be understood and analysed in isolation, but are also strongly linked. New global actors are part of the dynamics of fragility and have an impact on global and local inequality. The dynamics of fragility and the rise of new forms of public authority lead to formation of new global actors, just as new patterns of inequality set the scene for new global actors and alliances.

The research priority area brought together groups of researchers - from first four, later three, departments - who have agreed to cooperate within the above-mentioned three thematic areas. By doing this and by bringing in new PhD students and post-doc scholars through the research application activities we have aimed at placing globalisation and its consequences for the citizens high on the research agenda at Roskilde University as well as establishing a stronger research-based teaching on globalisation and its social, economic and political implications at the curriculum of the university. Further information in Appendices 1-3 and on <http://www.ruc.dk/en/research/strategic-research-initiatives/global-dynamics/>

2. The history of the research priority area

The initiative started with a series of meetings between researchers from four Departments: Department of Society and Globalisation (ISG), Department of Culture and Identity (CUID); Department of Communication, Business and Information Technologies (CBIT); and Department of Psychology and Educational Studies (PAES). The group worked for several months on an application (Global Dynamics programme – appendix 1) that was submitted to the Academic Council/The Board for funding. Besides relating to the research priority area call it was also relating itself to “informal top down signals” stressing that our application should encompass several departments.

When the application was accepted we decided to go for a bottom-up process of formulating cluster proposal that were not constrained by existing research groupings. The intention was to focus on the new agenda and to also bring into the GD initiative young colleagues that were not firmly based in existing research groups.

By means of a process of two rounds of expression of interests (Eols) during the autumn 2012 eight clusters were selected for the first phase of Global Dynamics (January 2013-June 2014). Later on it was decided to keep all clusters in Phase II (July 2014-December 2015 – subsequently extended to July 2016). Most but not all activities would be organized through clusters. All clusters cut across existing research groups and several also cut across department limits.

The eight clusters were/are the following:

1. Celebrities as New Global Actors
2. New International Actors/Movements and Media
3. Secularism and Religion in the 21st Century
4. Social Cohesion under Conditions of Diversity: Active Citizenship and Ethnicity
5. Emerging Economic Powers and Structural Transformation in Developing Countries
6. Dynamics of Fragility within and beyond the State
7. Structural Adjustments comes to Europe
8. Regions as Constituent Orders & Actors and Global Inter-Regional Interaction

Further information in Appendices 1-3 and on <http://www.ruc.dk/en/research/strategic-research-initiatives/global-dynamics/>. A total of 70 researchers have been involved in Global Dynamics – of these 40 are core participants (i.e. have set aside part of their “own” research time). See the lists of (core-and other-) participants in appendix 4.

3. The involved resources (inputs)

The planned budget for the three year period was 3 million DKK from central funds and 1.5 million DKK from decentral department funds. The latter was originally divided into 1 million (in kind – i.e. in the form of working hours) and 0.5 million (in cash). Due to budget constraints during 2015, the decentral contributions were lowered to 160,000 DKK, so that the total in-cash budget during the full period was 3,160,000 DKK, which is similar to the size of a medium-size research grant from a research council and at the level of two PhD student grants. (In contrast to research grants the RUC Board decided that funds could not be used to finance “frikøb” and PhD student grants).

By the end of 2015 a total of 2.3 million DKK has been spent by GD to finance the activities being evaluated. (Further 838,100 DKK is set aside for research related activities during the spring 2016). The expenditures by cluster (31.12.2015) were the following: C1: 154,116 DKK; C2: 300,287 DKK, C3: 136,465 DKK; C4: 197,159 DKK, C5: 293,137 DKK, C6: 290,204 DKK, C7: 214,115 DKK, C8: 364,190 DKK. The difference in amount of funds to each cluster is mainly due to differences in the Eol-applications. General expenditures - coordination, student support, Global Dynamics Lectures and PR – external to the clusters add up to 239,222 DKK by late 2015.

4. The Organisation

The GD research priority area has been run by a research director (Laurids S. Lauridsen), eight cluster coordinators, and an academic reference group made up of six representatives from the three involved departments (see <http://www.ruc.dk/en/research/strategic-research-initiatives/global-dynamics/who-are-we/>) The latter have during 2012-2015 held 11 meetings. The research director has had meetings (together with one or two cluster coordinators) with the vice-chancellor (subsequently the deputy vice chancellor) twice a year. As mentioned previously, GD originally included researchers from four departments but the two members from PAES chose to withdraw because they could not find a cluster that “fitted” their research interests. The departments involved were CUID, CBIT, ISG.

Four cross-cutting milestones to be fulfilled

5. Research production: Peer-reviewed publications (BFI) and other research publications

The list of publications can be found in each the three annual reports (Appendices 5-7.) These lists stem from the PURE database but have subsequently been “cleaned” by the research director. In appendix 8 there is a calculation of BFI points based on “raw data” from PURE and it shows that core researchers in 2013 had 63 BFI articles “earning” 84 BFI points. In 2014 core researchers again reached 63 BFI

publications “earning” 77 BFI points (Note for comparison that in the RU Development Contract 2012-2014, the goal for the whole university was to reach a total of 700 BFI registered publications in 2014.) It is of course difficult to measure the relation between the amount of inputs (in cash/in kind) and the amount of publication outputs as some of the publications listed stems from other research projects/research funds, and because publications from GD will keep on coming forward in 2016 and 2017. Nevertheless, Global Dynamics overall has a high level of research production and more peer review publications will come out in 2016.

Thus one can mention a new cluster 1 book published by Routledge 2016 (January) *“Celebrity Humanitarianism and North-South Relations. Politics, Place and Power”*, edited by core member Lisa Ann Richey. This book is the outcome of the cluster seminar series. Similarly, cluster 3 has held more workshops and they have led to publication mainly of work in each of the four core cluster researchers’ respective field. Thus the cluster activities have mostly fed into existing, ongoing research but has certainly stimulated it and taken it in new directions. Moreover, research and research collaboration with scholars from the Middle East has been improved as has the presence of Middle East expertise at RUC, through the cluster work. In spring 2014, three Syrian guest scholars were hosted for a month, resulting in a number of public lectures and workshops on the Syrian crisis and the topic of secularism. This mini-programme through the Cluster has built lasting connections between RUC and young Syrian scholars based in Scotland, Sweden and Germany. Some of the result of the work is published in *Arab Studies Journal*, issue 1 2016. One could also mention that Thomas P. Boje (cluster 4) has a contract (Gyldendal - Hans Reitzel) for a book on *“Civil Society, Citizenship and Participation.”*

The most successful activities in cluster 6 have been the two double-session international workshops leading to refereed publications: 'Pirates, preachers and politics: Security, religion and networks along the African Indian Ocean coast' (Roskilde, Nov. 2013, April 2014, publication in *Journal of Eastern African Studies*, Nov. 2015), and on 'Consumerism, regulation and informality in South Africa and Kenya' and 'Aspiration, exclusion and belonging in South Africa and Kenya' (Roskilde May 2014, Johannesburg October 2015, publication planned in *African Studies* 2016). Cluster 7 has organised a series of international workshops during its work. In 2015, it organised an international workshop on the theme of anti-austerity movements in the EU. The workshop included around 30 participants, with Cristina Flesher-Fominaya (Aberdeen) as keynote speaker. Angela Bourne has put together a special issue proposal based on some of the proceedings from the workshop. The proposal has been accepted as a special issue of *Journal of Civil Society* on *“Social Movements”* (edited by Angela Bourne and to be submitted to journal editors March 2017. Finally, cluster 8 has organised a series of international workshops during its work, starting in 2012. In addition to special issues currently under review or production workshops and panels served as incubators for a number of joint research applications

6. External funding/projects co-funded by the strategic research initiative

External funding was a high priority in Phase II and all clusters have sent in research applications. In 2013, a cluster 6 FFU application was accepted – 10 million DKK. In 2014, we sent 19 applications for a total amount of more than 100 million DKK, which led to an external funding of 9.2 million DKK. In 2015, 37 applications was forwarded applying for more than 90 million DKK and so far it has) resulted in external funding of 13.5 million DKK. Henceforth, even though the success rate has been modest the Global Dynamics researchers have received a total 32.7 million DKK or more ten times the amount of money Roskilde University allocated to Global Dynamics. When compared to the planned total amount of external funding for 2012-2014 for all four Strategic Research Areas (according to the “Development Contract” 6 million DKK), the contribution from GD alone is more than five times that amount. Detailed information on the external application and funding activities can be found in the GD Annual Reports (2013) 2014 and 2015 (Appendices 5-7).

A special initiative has been to support PhD students in making post-doc applications. GD has supported two such cases. In cluster 2 we employed Pelle Korsbæk Sørensen as research assistant in three months to prepare a post-doc application (‘The Civic Assessment Project – New-CAP’) which was sent to ‘Carlsberg Fonden’ (refusal), ‘Nordea Fonden’ and DFF/FSE (both pending). In cluster 5 we employed Anders Riel Müller when he had submitted his PhD dissertation to prepare an application for DFF/FSE-

FKK on 'The Travels and Politics of Saemaul Undong ODA'. Unfortunately, he had to rework his PhD dissertation and when he had finally defended it in January 2016, DFF had decided not to announce post-docs in 2016, so the application has not been sent yet.

As with publications it is difficult to 'measure' the precise impact of Global Dynamics – in part because the contra-factual (GD as non-existing) is not known. Nevertheless it can safely be concluded that the research initiative has managed to successfully expand external funding.

7. Development of PHD activities/courses

Global Dynamics has contributed to PhD activities in two ways. First, by having PhD students attached to the clusters (see <http://www.ruc.dk/en/research/strategic-research-initiatives/global-dynamics/who-are-we/>) and by obtaining funding for new PhD students – as explained below. Secondly, Global Dynamics has arranged two PhD courses and three PhD seminar/workshops (further two are planned for the spring 2016). The amount of courses/seminars are less than planned but it must be seen in a context where PhD course network have declined in importance in Denmark, where competing universities 'protect' their PhD schools (in-house courses), and where fewer courses are thematic and more are of generic nature (methodology etc.). Against this change in the PhD landscape, we find that the activities in this field have been scaled correctly and been valuable for our own PhD students as well as guest PhD students from abroad.

Cluster 1 has contributed to PhD activities in part by having two PhD students involved in the cluster (Mie Vestergaard; Tore Holst), partly by organising/co-organising a range of seminars, symposia, conferences, two of which included a PhD seminar. Cluster 2 has contributed to PhD activities in part by having 4 PhD students (all from Communication Studies) actively involved: Jonas Agerbæk Jeppesen and Nina Grønløkke, supervised by Thomas Tufte; Devi Bhakta Suberi and Mostafa Shehata, supervised by Norbert Wildermuth. A PhD workshop, with the topic "Networked spaces of mediated communication: forms of appropriation by new social actors and movements", took place in September 2013. Organised by Norbert Wildermuth, the PhD course had 16 active participants, amongst them six scholars from the cluster and PhD students from RU, Aarhus University, Netherlands, Bhutan, Tanzania and Kenya.

Due to illness and a research leave Cluster 3 has postponed a PhD Course on "Secularism" to 2016.

Cluster 4 has not been that active within PhD activities but an important upcoming activity is March 8-10 2016 with public lecture by Egin Isin, Professor in Citizenship at Open University, United Kingdom on "Citizenship and the governance of migrations: exploring the dynamics of citizenship in a mobile world" and PhD seminar on "Citizenship and the governance of migrations: exploring the dynamics of citizenship in a mobile world".

Cluster 5 activities have contributed to the PhD activities in part by having three PhD students involved. Anders Riel Müller has in January 2016 successfully defended his dissertation on "The making of a food security crisis – overseas agricultural investments and nationalism in South Korea." Johanna Malm has submitted her PhD thesis on 'Chinese development finance and IMF's norms for public debts management in DR Congo'. Karen Sau Jespersen will hand in her PhD thesis in 'Global Aquaculture Value Chains with a case on China (tilapia) and Vietnam (pangasius)' in January 2016. Three new PhD students became part of the "Hierarchies of Rights" programme in 2015 (Celso Monjane, Padil Salimo, Thabit Jacob) and there is also a PhD component in the 'Getting out of the Technology Transfer Trap' research programme. Furthermore, the 'Paradox of Globalization' seminar and the 'Investments in Land and Natural Resources' seminar had inbuilt successful PhD workshop activities to support PhDs and other PhD projects cluster attached (see the annual reports).

The above mentioned international workshops in cluster 6 were important and effective in developing new research focuses, integrating the work of PhD students and especially promising thesis-writing master students with the work of senior researchers. In particular, PhD students and master students from Kenya affiliated to RU through the 'Building Stronger Universities' programme have contributed to and benefitted from cluster 6 workshops and research activities. Cluster 7 workshop activities have been open to and used by PhD students. Yannick Harrison, whose PhD project (co-financed with the University of Nijmegen, NL) focuses on transnational anti-austerity struggles in the EU, has joined the cluster.

Cluster 8 participants have participated in five Horizon 2020 bids – one as lead and two FSE applications

(both as lead) and one application for the Carlsberg foundation. These efforts have among other enabled the partial funding of two PhD students attached to this cluster (Anne Ingemann Johansen and Troels Burchall Henningsen).

8. Institutionalization of the research groups/teams within the research initiative

It is too early to conclude about the future institutionalisation of Global Dynamics. It has just been decided to start a discussion on having one or two GD-centres in the two new institutes (ISE and IKH). Based on that a decision on that will be made in June 2016.

Cluster 1 will most likely continue doing “celebrity research” across the two new departments and will work with the international celebrity network. Cluster 2 will probably not continue in its present form. Cluster 3 has opened up for collaboration between political philosophy (Sune Lægaard), migration and minority research (Garbi Schmidt), religious studies (Lisbet Christoffersen) and Middle East studies (Sune Haugbølle). While secularism is traditionally an institutional question in a Danish and European context, revolving around questions of Church and State, the heightened tension around secular identity, sect and public religiosity in the Middle East is ‘imported’ to a Western context as part of issues surrounding migration and integration. This, in turn, is reflected in Western political philosophy, which has taken the topic up in relation to multi-culturalism. The cluster has slowly, through regular meetings and activities over several years, established a possible research agenda around such global and interconnected questions of secularism to be further enhanced and developed in the coming years on the basis of the cluster’s work.

Cluster 4 has become a small cluster and will most likely not continue as a group after July 2016 but the themes “Citizenship, migration and ethnicity” and “Civil Society, Citizenship and Globalisation”, which has been the focus in the cluster, will undoubtedly be part of Roskilde University’s research profile in the years to come. Cluster 5 has obtained substantial external funding, which will have a strong impact on cluster activities in 2016 and forward. These research proposals ended up being mainly individually-driven projects and during the application process the titles was adjusted so that the EEP-dimension was less pronounced in the final titles: ‘Getting out of the Technology Transfer Trap: Foreign direct investment and learning among African-owned firms’ (Lindsay Whitfield; 4.5 million DKK, FSE); ‘Hierarchies of Rights: Land and Investments in Africa’ (Lars Buur; 9.9 million DKK, FFU); and ‘Informal worker organisation and social protection’ (Lone Riisgaard, 9.9 million DKK, FFU). Nevertheless with a total of more than 24 million DKK in new research finance, research on Emerging Economic Powers will be centrally placed in the future research profile of ISG (now ISE).

Cluster 6 members will continue to collaborate around the development of new research in the field of fragile states and instability studies, both in the context of collaboration with universities and researchers in Kenya, Uganda and South Africa, and within research networks focussing on Indian Ocean studies and cross-regional dynamics of political and cultural interaction.

Cluster 7: Overall the cluster’s work can be seen as successful in bringing an innovative focus to the study of restructuring processes in the EU in the context of the ongoing multiple crises. The cluster members have not made concrete plans to institutionalise the focus of the cluster beyond the duration of GD. This is mainly due to the fact that with the workshops organised the cluster has already explored the dimensions that we wanted to discuss (political economy, politics and social movements in the context of structural adjustment in EU). The cluster members are now moving on with their own projects, but we will certainly consider co-authoring.

Cluster 8 participants have not made concrete plans to institutionalise the focus of the cluster beyond the duration of GD. This is mainly due to the expectation that some of the numerous research applications generated by the group will prove successful and thus provide a framework for further pursuing specific problematiques. The remaining funds in our budget will be used for an international workshop on the emergence of a regional international society in the Arctic, as well as meetings with prospective participants in a research application focusing on how the European RIS partake in the above. Overall the

cluster's work can be seen as successful in bringing an innovative focus to the study of Regions as constituent orders & actors and global inter-regional interaction.

Specific milestones defined by the research initiative

8. "Put Roskilde University on the map"

Besides conducting research Global Dynamics has run a series of Global Dynamics Lectures and the individual cluster have organised/co-organised conferences/ seminars/ workshops – all of which can be found on the activity lists in the annual report 2013-2015. (Further activities will take place in the spring 2016).

It has been a specific Global Dynamics milestone to profile Roskilde University as a place where there is a strong focus on global issues. The former vice-chancellor suggested that we arranged some high-profile events – so we decided to "invest" in getting Robert Putnam (Dec. 2014), James Scott (May 2015) and 2Guy Standing (October 2015) in GD-Phase II. All these events were successful with more than 100 participants each and subsequent press interviews.

Global Dynamics has also placed Roskilde University 'on the map' by organising seminars, symposia, conferences and by organising conference panels. Concerning the panels, cluster 1 has organised nine conference panels at international conferences during 2013-2015. Major conferences were a major part of action plans and so far we have arranged five international conferences. (See the annual status reports in appendix 5-7).

9. Research Networking

Cluster 1 has focused on furthering research within the upcoming field of celebrity studies with a focus on celebrities as global and glocal actors, particularly within the development industry and as 'global humanitarians'. The cluster is made up of core members from two departments at Roskilde University (formerly ISG and CUID). Both the seminars and conference panels have been instrumental in strengthening the cluster's international network, which in turn has enabled us to collaborate further on new conferences and seminars. The core group has developed a close regional network of scholars from University of Copenhagen, Copenhagen Business School, Danish Institute for International Studies and Lund University; a network which has participated in core group meetings, reading groups, internal seminars and has been instrumental in collaborating on and co-funding international seminars and conferences. Additionally, the cluster has set up an international network, comprising scholars from Australia, USA, Britain, Italy, Sweden, South Africa, Germany, and Canada. These scholars have contributed to the work of the cluster by giving guest lectures at Roskilde University, participating in conferences, collaborating on symposiums and conferences.

Cluster 2 has also focused on research networking and organised a series of international workshops. In May 2014, we organized a workshop titled "Globalization and New Actors – Corporate Perspectives and Social Challenges". Focusing on challenges faced by new actors in globalization in relation to corporate and business communication, the workshop explored its topic from both corporate and civil society perspectives. Jacob Dahl Rendstorff (Business Studies, CBIT) chaired the event, which had scholars from Tilburg and Amsterdam University, University of Paris and Bradford University as invited speakers. Other workshops has established links to among others Stephen Duncombe, New York University and in September 2014, Norbert Wildermuth organized a joint workshop at "Centre of Excellence for Computing in Development" at University of Nairobi, discussing the final details of a North-driven research application in co-operation with Prof. Timothy M. Waema (director of CoE for CiD) and colleagues.

Cluster 3 has been successful in bringing four researchers from two departments together around the topic of secularism. They have had regular meetings to coordinate activities that have sought to dovetail existing research programmes, in particular the Secular Ideology in the Middle East group, with conferences, workshops and talks by invited speakers. The most successful event have been the Global Secularism Conference in late 2013, which featured political philosophers, immigration researchers,

Nordic religion scholars and Middle East scholars in an innovative combination, bringing together debates about secularism that are normally disparate. These conferences/workshops have built research networks both across RUC and internationally. Moreover, they have integrated the work of PhD students with the work of senior researchers.

Cluster 5 has been concerned with the impact of the new Emerging Economic Powers (EEPs) and processes of structural transformation in Sub-Sahara Africa and South-East Asia. The EEP cluster has dealt with such issues as direct foreign investments, outsourcing, middle-income crisis and overseas agricultural investments ('land-grabbing') plus started research on the SSE (Social Solidarity Economy). It has also involved international networking activities – in part as a measure to prepare research applications. The cluster has had several international workshops to help research initiatives within this new field of research. The inaugural workshop on 'Emerging Economic Powers and Structural Transformation in Developing Countries' November 25th-26th 2013 was particularly helpful in clarifying what may be particular about EEP-investors compared to traditional northern investors. This was followed by two other workshops and seminars: The May 20th-21st 2014 Research workshop on 'Investments in Land and Natural Resources: theoretical, methodological and empirical perspectives' and the October 26th-27th 2015: Seminar and PhD workshop on 'The Paradox of Globalization: Economic Nationalism and Embedded Foreign Direct Investments'. The latter seminar was linked to a PhD workshop and it opened for the attachment of a Swedish post-doc to the cluster from 2016. The Cluster also hosted a seminar on 'Growth of Global Precarity and how to create a Solidarity Economy' by Professors Guy Standing and Research Expert Bénédicte Fonteneau on October 8th 2015.

The above mentioned international workshops in cluster 6 were also important and effective in developing new research focuses, and establishing and consolidating important international links of research collaboration. Particularly important among these collaboration links are those with Oxford and Warwick Universities in the UK and with WISER - the Wits Institute for Social and Economic Research at the University of the Witwatersrand in Johannesburg. The cluster hopes to develop these links of collaboration further in the course of further research workshops and exchanges under development for 2016. Research and research collaboration on East Africa have always been importantly furthered through coordination between Global Dynamics and Building Stronger Universities (BSU) activities, including a highly successful Roskilde workshop in April 2013, involving collaboration with Maseno University and University of Nairobi in Kenya as well as the Universities of Oxford and Warwick in the UK, and resulting in a publication in the Journal of Africa Elections in October 2014, and involving importantly also presentations from and discussion of the work by PhD students. The cluster hopes to develop these links also further during Global Dynamics activities in 2016 and interacting with BSU2 activities planned for Gulu University in Uganda and involving collaboration with Maseno University in Kenya. Further international collaboration within cluster 6 has been conducted through the AEGIS collaborative research group on 'Africa in the Indian Ocean', which has a cluster 6 coordinator, and with whom the two research workshops in Roskilde in 2014 and 2015 on 'Pirates, preachers and politics', as well as a further workshop in Lisbon in 2015 were co-organised.

Networking has been central for cluster 8, too. The cluster has organised a series of international workshops during its work, starting in 2012. In 2014, it organised a major international conference on Multiple Globalizations. The conference included around 50 participants, with Mark Juergensmeyer (UCSB) as keynote speaker. The conference was considered a success by participants and a follow up event was hosted in June 2015 by the American University in Cairo. Several spinoffs from the Roskilde event has materialized including ongoing dialogue with New School in New York on research and teaching collaboration featuring critical approaches to the study of the cluster theme. This produced a workshop on June 11th at Roskilde in cooperation with New School N.Y/Graduate Program in International Affairs (GPIA). In the course of 2015 the cluster organized and hosted three international workshops: 1) April 23th - "European-African Interaction centered on the Mediterranean" 2) June 12th - "Externally Constructing and Contesting Regional International Society" 3) October 5th-6th "The Practice of Protecting Civilians: Local, Regional and Global Dynamics". Additional workshops were concluded successfully in 2013 and 2014 titled: 1) "Externally Constructing and Contesting Regional International Society" 2) "The European Union as an International Security Provider" in addition to panels at major conferences such as the September 4th-7th Panel on "Pan-regional internationalism: A Counter concept to Universal Internationalism", at the

Fourth European Congress on World and Global History, Paris and Panel session “Theorizing EU as a global Actor: understanding roles and recent trends”, at the Danish European Union Studies Association annual meeting hosted by Roskilde University.

10. Research dissemination

Cluster 1 has set up a network webpage (<https://celebnorthsouth.wordpress.com>), which disseminates calls for papers, publication news and research findings. The webpage is interconnected with the cluster’s facebook-site with above 250 followers (<https://www.facebook.com/celebnorthsouth/>) and twitter-page (<https://twitter.com/celebnorthsouth>), where empirical materials, relevant network news and academic debates are enabled – furthering the reach of the cluster and the network.

In cluster 4 Eric Hahonou has studied citizenship among nomads in Africa. A cluster funded pilot project ‘River Nomads’ has now become a crowd funded documentary movie that is available and that will be screened at RUC in March 2016. Cluster 6 have made important progress has been in the field of disseminating and sharing research findings with NGO representations and civil society and local community activists, including a successful and well-attended Roskilde workshop on ‘NGO work in fragile states’ in March 2015. The cluster plans to continue such activities also within the Global Dynamics extension planned for 2016, and involving workshops not only in Roskilde, but also in Northern Uganda and in South Africa.

Cluster 7 has organised a series of international workshops during its work. In 2015, it organised an international workshop on the theme of anti-austerity movements in the EU. An important dimension of the workshop has been cooperation with activists from social movements; to facilitate this the workshop programme included 1 ½ days of ‘academic’ presentations, and the last day as presentation and roundtable discussion with activists, in cooperation with Transform!, a European platform of social movements. The workshop was considered a success by all participants, with several suggestions about how to follow-up. Moreover, The cluster also contributed to the EuroMemorandum conference which was hosted by ISG in September 2015. Jesper Jespersen gave the opening address at the event. Laura Horn also contributed to the ‘gender mainstreaming’ process of the final EuroMemorandum document, and has joined the EuroMemo steering group.

11. Spillover to education activities

The former vice-chancellor was keen about potential spillover on teaching and on cross-departmental collaboration on global/international studies activities. By running a Complementary seminar/Academic course in ‘Emerging Economic Powers: Economic Expansion in a Changing Global Economy’ in 2014 and in 2015, the EEP cluster (Cluster 5) has tried and succeeded to get more master students in Global Studies and International Development Studies interested in the cluster theme

Lesson-learned – reflection on strengths, weaknesses and challenges

Global Dynamics has been an ambitious research initiative that sought to bring 40 core researchers plus further 30 participants from different disciplines, different research groups and different departments together. This has of course been a complex mechanism but the organisation in eight clusters have made it possible and the bottom-up processes of establishing these clusters have proved to be a stabilising factor. In the short term this has been a time-consuming process but in the long run it may have contributed to the formation of fruitful cross-departmental research links on selected fields of interest. Global Dynamics has managed to attract several newly recruited young faculty members and it has been a platform for bringing their existing networks into play as well for developing their international research networks further. The long-term effect of these network investments will also depend on how the 2016-2019 budget costs at Roskilde University will impact on GD researchers in general and in particular on assistant professors on the threshold to tenured positions. In general, there can be little doubt that Global Dynamics has played a strong role in funding international networking.

As can be seen in the three yearly status reports and as we have explained above Global Dynamics has been successful in acquiring external funding, in recruiting, supervising and supporting new PhD students, and in expanding publications within the eight cluster themes. Similarly we have, even though “frikøb” have not been possible, managed to run a pretty impressive workshop/seminar/conference

programme, which has been based on active researchers who were willing to invest their modest "research hours" in planning and implementation of these activities. By attracting a range of top international researchers to give lectures, comment on PhD papers and participate in informal workshops Global Dynamics affiliated researchers have had access to state-of-the art thinking in our GD themes and cluster areas.

It should be underlined that Global Dynamics as documented in the three annual status reports have given "value for money" (spending 2.3 million DKK so far). Moreover, it can safely be concluded that having relative small sums of money for enabling research applications can make a big difference when it comes to preparatory meetings with potential foreign collaborators etc.

The activity level has been high but of course also uneven across the eight clusters and two clusters (C3 and C4) have major activities that for various reasons (including serious illness) have been postponed to spring 2016. The coordinator of cluster 2 has stated that in his view the foremost challenge in that cluster "was cooperation between participants from two departments and four disciplines (sociology, communication, performance design and business studies), which didn't always work out so well in practice. Especially the ambition of realizing a joint international conference and of one or several research applications bringing together cluster participants across several disciplines proved to be challenged by the insufficient congruence of research interests of cluster participants. This partly because all senior participants are at the same time involved in other research groups and formations." Other challenges have been in relation to PhD courses and seminars, where the Danish PhD landscape has moved away from national networks and away from thematic seminars. The latter makes some sense but when combined with the former (with new regulation on how many ECTS have to be taken in-house) it shows how New Public Management-thinking has fuelled inter-university competition in a field where inter-university collaboration is strongly needed and ought to be re-established. This new competitive environment has made it more difficult to attract external PhD students to GD PhD seminars/workshops.

It has also been a challenge to ensure a high level of spill over to the MA-programmes on Globalisation, especially across departments. This is partly due to fact that the MA-programmes at Roskilde University have moved from optional seminars to compulsory courses, making it more difficult to have seminars that link closely to research initiatives (such as Global Dynamics).

All in all it is probably too early to estimate the intended as well as the unintended consequences of the research initiative. There can be little doubt that the Global Dynamics initiative has strengthened the so-called "research depth" within cross-cultural and globalisation studies at Roskilde University.

The Global Dynamics research initiative should of course also be compared with the other three research initiatives to determine whether our centre-like model of supporting eight new research areas has been relative successful or not. As the total amount of money for each research initiative has been modest (around 3 million DKK), we tend to argue that a cluster model is worth considering for future research. If the university had been able to fund e.g. three major focus research programmes of 10 million each a different model would probably have been more relevant.

List of appendices (see www.ruc.dk):

Appendix 1 Application "The Dynamics of Globalisation, Inequality and New Processes of International Interaction" from 14 august 2012

Appendix 2 Action plan for the first phase (Jan 2013-June 2014)

Appendix 3 Action plan for the second phase (July 2014 -December 2015 – later extended to July 2016)

Appendix 4: List of core participants and other participants

Appendix 5 GD Annual Report 2013

Appendix 6 GD Annual Report 2014

Appendix 7 GD Annual Report 2015

Appendix 8 GD BFI data 2013-2014

Evaluation of Strategic Research Initiatives at Roskilde University

Strategic Research Initiative: The Dynamics of Globalisation, Inequality and New Processes of International Interaction (GD)

By **Staffan Lindberg**, Professor emeritus of Sociology, Lund University

27 April 2016

Introduction

This is an intermediate evaluation of the funding of the Research Initiative (RI), which started in the second half of 2013 and is finishing in June 2016. Given that research takes time to carry out and complete with publications and other activities, this is not really about the published results but rather an evaluation of the activities over the past two and a half years. The funding at 3.2 million DKK for the whole period is limited and my main emphasis here will be to see to what extent this and a strategic leadership has inspired and invigorated the study areas with new and innovative activities.

This evaluation is made against the background that I did an evaluation of Graduate School of International Development Studies (IDS) in 2009, in which I summarised the activities in the following way:

The current evaluation finds that today, in 2008 - 2009, the School has not only been sustained at this high level of performance but has improved even further in terms of overall functioning and output of PhD exams. Given its aims, preconditions and context it has now reached an almost optimal way of functioning in terms of its main goal, that is, to successfully train PhD candidates in research and writing skills around development issues in the developing countries, which encompass a broad agenda of social transformation studies in social, political and economic perspectives (Lindberg 2009 – see further in the Appendix 1 to this report).

However, Global Dynamics is a new Research Initiative, drawing researchers and students not just from IDS but from all the relevant research milieus at RUC. As such, it has to be evaluated as a new research environment in operation since mid-2013.

1. Comments on your specific research initiative: Outcomes and realization of potential

It is found that Global Dynamics (GD) is a large, vibrant, relevant and imaginative research milieu which has the potential of yielding a rich harvest of new insights into the field of globalisation and international relations. GD builds on existing milieus and critical mass (synergy of existing elements) and a cross-cutting broad coverage of the RUC social science institutes. The reorganisation of RUC into a new departmental structure does not seem to have hampered this interdisciplinary milieu. With its 40 core researchers and 30 attached ones, it is one of the largest and strongest internationally oriented social science programmes in the Nordic countries.

The overall emphasis of the Research Initiative (RI) is to strengthen research with the help of seminars, workshops, conferences, guest lectures, PhD-courses, and start-up money for new research.

RI did not allow for funding of doctoral students or for “buying” research time for staff. Due to financial constraints, the number of doctoral students has been declining in the past few years. The recruitment of new PhD students does continue but at a lower rate than earlier. Yet in 2015, GD managed to get funding for four new PhD-students so that there are now 25 PhD students involved in the programme. One feature of the current situation is that the various universities compete with one another for excellence and are not as inclined as earlier to cooperate around for example PhD-courses, which used to be one of the strong side of researcher training.

Nevertheless, and even at a lower output of doctoral exams, GD seems to have a good demographic profile with many new and young scholars hired during the past ten year period. They will be well prepared for carrying this research profile into the future, when the older professors are retiring.

With this Research Initiative, Global Development is geared to the following focus. I quote from the *Self-Evaluation* page 1:

'1. The objective of the research priority area

The research activities on "The Dynamics of Globalisation, Inequality and New Processes of International Interaction" (hereafter Global Dynamics or GD) has intended to bring together and strengthen research activities on processes of globalisation in joint efforts among scholars from several Departments at RUC.

The thematic focus has been on three broad areas:

- New global actors
- Dynamics of fragility and struggles over public authority
- Global inequalities

These three topical issues are in urgent need of investigation and research: the shifting balance of economic and political power in a rapidly changing the world as well as the new social actors including, the impact of the new social medias, were dimensions of the new social realities at global, national and regional level; dynamics of fragility lead to struggles over public authority in many parts of the world and challenge a state-centred view of the world; and processes of globalisation produce not just income inequality but also new social and political inequalities along dimensions such as gender, ethnicity and religion that have challenged the existing social order and fuelled new collective responses.

The three issues cannot be understood and analysed in isolation, but they are also strongly linked. New global actors are part of the dynamics of fragility and have an impact on global and local inequality. The dynamics of fragility and the rise of new forms of public authority lead to formation of new global actors, just as new patterns of inequality set the scene for new global actors and alliances.

The research priority area brought together groups of researchers - from first four, later three, departments - who have agreed to cooperate within the above-mentioned three thematic areas. By doing this and by bringing in new PhD students and post-doc scholars through the research applications activities we have aimed at placing globalisation and its consequences for the citizens high on the research agenda at Roskilde University as well as establishing a stronger research-based teaching on globalisation and its social, economic and political implications at the curriculum of the university.'

The organisation of the GD research initiative seems clear and well-functioning with a soft but firm leadership system and well thought out division of labour into 8 clusters arranged along thematic lines.

The clusters are:

1. Celebrities as New Global Actors
2. New International Actors/Movements and Media
3. Secularism and Religion in the 21st Century
4. Social Cohesion under Conditions of Diversity: Active Citizenship and Ethnicity
5. Emerging Economic Powers and Structural Transformation in Developing Countries
6. Dynamics of Fragility within and beyond the State
7. Structural Adjustments comes to Europe
8. Regions as Constituent Orders & Actors and Global Inter-Regional Interaction

Each of these clusters have shared the allotment for its various activities and have received between DKK 150 000 to 365 000 over the period 2013-2015. Another 240 000 has been spent on general overhead costs for coordination, PR, guest lectures, student support, etc.

The strength and importance of the research initiative GD is neatly illustrated by the fact that applications for outside research funding inside and outside Denmark have so far yielded more than 30 million DKK, that is, about ten times the original research initiative investment in the milieu. Several applications are pending.

Transformed agenda for research

Most important is the focus on contemporary issues of great concern in the present-day world. Less emphasis is put on traditional development issues and more on transformation and change. This goes hand in hand with the dwindling importance of Western aid and increasing importance of emerging economic and political powers of the South.

What is striking is how the contemporary crisis in the Middle East with civil/international wars have translated into several research projects and clusters in GD, like the concern about Secularism and Religion, the Social Medias' explosive development, ethnic conflicts and social cohesion, the economic crisis in Europe and structural adjustment.

Equally striking is the transformation of the world economy in the last decade: the rise of BRICs countries, especially that of China and India, and the concomitant influence this has on development funding and industrial development in the lesser developed and smaller economies. Another strong characteristic is the development of non-state actors, local, regional or global in the states with fragile state power. GD addresses several of these issues.

Politics and development agendas are now influenced by a new set of almost "divine" elites - local celebrities and dignitaries who command huge economic resources and media coverage. It is as if the new ideology of neo-liberalism has given birth to a complete new set of social and political consciousness: with widening social and economic cleavages goes a worship of success, in which at least the dream of winning is kept alive. Political mobilisation for development is mediated by this quest for charity and more or less personal agendas of the so

called “humanitarianism celebrities”. GD’s Cluster 1 has a broad and very interesting open research programme on this development including its implications for democracy.

These are all imaginative and interesting trails in the RUC environment. Many of these themes and topics are relatively new to the international studies milieu at RUC and carry promises of new research results in the near future.

One can note that the overall interest in Natural Resource Management has dwindled in GD compared the IDS programme in 2009. However, the current list of the PhD topics reveals that there is still a rather strong emphasis of this in several projects (See Appendix 2). And many of the senior research projects are coupled to natural resource extraction and management and its importance in growing economies.

The main activities have been the gathering of like-minded researchers and students in the 8 clusters, organising seminars, workshop and conferences within widening network of international researchers, UK, US, European and African, etc. Cluster 6, focusing on fragile states, has cooperation with East African universities within a programme for strengthening their capacities (Danish Aid).

Many of the clusters have also focused on joint publications on their themes, like anthologies from workshops, special issues of scientific journals, etc. One example is the ‘Celebrity, Humanitarianism and North-South Relations: Politics, Place and Power’ from cluster 1 and another is the cluster 6 publishing a special issue of Journal of Eastern African Studies on ‘Pirates, preachers and politics’: Security, religion and networks along the African Indian Ocean coast.’ Besides publishing important research results, these and other similar publications make the GD research environment visible in the Media.

The output of publications seems to be stable at a high level and with more to come in the current and next two years. Most of the 40 core researchers have been very actively publishing, mostly in peer reviewed journals and other publications. 6 participants have not published in the period, presumably PhD students in a phase of field studies and analysis.

Besides this, a number of popular articles about GD research in Danish Media, journals, etc. help to disseminate research results and strengthen the public image of international studies at Roskilde. In 2014-2015 Global Dynamics guest lectures by Robert Putnam, James Scott, and Guy Standing have helped strengthening the cohesion and image of the research initiative.

The clusters vary in size and intensity of activities. Two of them with rather small number of researchers, that is, cluster 2 and 4, show less activities and with a less certain future due to retirements and some researchers moving away to other universities in Denmark and abroad. For these, the institutional reorganisation, sometimes make it difficult to hold the cluster together without daily interaction in seminars and coffee-rooms.

Cluster 1 on celebrity, cluster 3 on secularism, cluster 5 on emerging economic powers, cluster 6 on fragile states, and cluster 8 on inter-regional interaction are large and very active research groups with a lot of activities and publications. Some of the others, smaller and with less people, will be able to partly merge their interest into these stable and better funded clusters. So over the years to come the themes will change and consolidate in new ways, given that institutional base funding and external research funding is kept up at a reasonable level. 5 or 6 main clusters seem a realistic level in the future. It is also important that generous space is provided for more narrowly focused research projects driven by individual scholars.

2. Further observations concerning the strategic research initiatives more generally

As is clear from the presentation of the four research initiatives, the support can take many different forms. A small and relatively new milieu needs strengthening by hiring new researchers, a big and comprehensive like Global Dynamics needs other more limited support and intervention. So support need to be tailor made to a best fit.

3. Recommendations for future practice: Possibilities/potential for development

When RUC was established in 1972 it soon appeared as a very creative interdisciplinary research university, which I think inspired the whole university world in the Nordic countries. With the building up international development studies from the early 1990s this was further consolidated. It came to help and crystallise not just Danish development research but also Nordic and also helped develop ties to sister institutions in other countries. It is a flagship of RUC today.

This evaluation shows, that given a strong research environment, relatively limited funding can make a large difference in terms of supporting new and imaginative research projects and programmes. Funding workshops, pilot projects, guest lectures, conferences, etc. for such a large group of researchers yields rich results and should be continued to ensure stability and new creativity.

It is the autonomy that ensures success: If one initiative fails within a larger whole, new ones will come up instead. No top down or general public management and priority of singular smaller fields has this capacity to generate new high quality research. Only autonomous and inspired researchers have.

Continued support through extra funding, at whatever affordable level, will be crucial in carrying these research initiatives further.



May 4th 2016

Dear Peter

We are generally happy about the report by the external evaluator Staffan Lindberg who comes up with a range of positive points about the content of, the results from, and the organization of the Global Dynamics SRI.

Concerning the future of Global Dynamics Lindberg states that “[c]luster 1 on celebrity, cluster 3 on secularism, cluster 5 on emerging economic powers, cluster 6 on fragile states, and cluster 8 on inter-regional interaction are large and very active research groups with a lot of activities and publications. Some of the others, smaller and with less people, will be able to partly merge their interest into these stable and better funded clusters. 5 or 6 main clusters seem a realistic level in the future.” I am in full agreement with that statement, so in general Global Dynamics appears to be viable.

Concerning the issue of future actions and funding, Lindberg states that “[t]his evaluation shows, that given a strong research environment, relatively limited funding can make a large difference in terms of supporting new and imaginative research projects and programmes” and that “[c]ontinued support through extra funding, at whatever affordable level, will be crucial in carrying these research initiatives further.” Being in agreement with that statement - and in continuation of it - I think it is important to have a clarification about how Global Dynamics can fit into the research strategies of the ISE and DCA, respectively. At the RUC-level it is important to have some kind of leadership support and (affordable) funding for a continuation. Finally, at the SRI-level there will be a need for a deeper discussion concerning the organisation post-July 2016, including the cluster structure.

Best regards

Laurids S. Lauridsen

Power, Media and Communication

Self-Evaluation

Strategic Research Initiative: Power, Media and Communication

Situated at Department of Communication, Business and Information Technologies (CBIT), from 1.1.2016 Department of Communication and Arts (CA)

Leader in charge: Professor Bente Halkier, CBIT/CA

Short description of the strategic research initiative (max. 2 pages)

(History, context and raison d'être – overall ambitions of the research initiative)

Specific history of becoming a strategic research initiative

The Centre for Power, Media and Communication emerged as a result of the strategy processes at CBIT and the development of the research priority areas at Roskilde University after the international research evaluation at the university in 2011. The international research evaluation stated among other things about the at that time existing research groups in Communication and Journalism, that the empirical research at CBIT was too dependent on a small number of individual researchers. Hence, Heads of Research Groups and the Head of Department suggested something should be done to connect communication and journalism research better in common empirical research projects.

In the wake of this, Bente Halkier, Kim Schrøder, Ida Willig and Mark Ørsten formulated an internal application for the university in winter 2011-12 and received the funding in spring 2012. The Rectorship asked for applications that were quite loose in term of description of research, aims, organisation and budget. So, the original application was very different from a regular research project/centre application in the sense that it consisted in broad aims, a description of three common datasets to be made, a list of 8 milestones, a development plan, a budget in round numbers and 13 members. Thus, the first couple of months of the work in the strategic research initiative very much consisted in clarifying the research priorities and shaping the first projects, both in terms of theoretical approaches, methodological design and practical decisions about budgets and personnel. Alongside this and running for the first year, divisions of labour between members of the research centre were made, budgets were made, an implementation plan was made, seminars about the content of our main concepts were held, and the research organisation slowly emerged.

In other words, this strategic research initiative has a history of "laying down the tracks while the train is running". Furthermore, this strategic research initiative attempted to establish research project cooperation between researchers coming from two different environments (communication and journalism).

Purpose and analytical approach

The primary *purpose* of Centre for Power, Media and Communication is to do new theoretically informed empirical research on power aspects of media and communication dynamics by combining a production perspective, a content perspective and a use perspective. There are two main reasons behind this empirical ambition. First, in a Danish context, all three perspectives are typically not joined in empirical research on such power aspects. Thus, we hope that Danish research in communication and journalism will be benefitting from the large number of empirical research projects we have carried out. Secondly, the idea is to equip our researchers with sufficient empirical grounding and analytical experience to be able to be partners in future international comparative research applications.

The *analytical* approach in the research centre has been a broad multi-dimensional understanding of power in relation to media and communication, covering both "power over", "power to" and "power

through". But at more specific theoretical levels, we would have found it too constraining to make all participating researchers work within exactly the same theoretical framework. Thus, the common starting point has been this broad understanding of power in relation to media and communication, and the combination of the three perspectives on media: Production, content and use.

Empirical projects

The research centre covers 11 empirical projects:

1. The news week project
2. The campaigns project
3. Women in media industries in Europe
4. Local community, municipal democracy and political communication in a new media environment
5. Reuters digital news survey across Europe
6. Repertoires of news consumption in Denmark
7. From maybe-readers to maybe-users
8. Strategizing communication
9. Who makes the news
10. Campaigning across media platforms – Danish politicians and their communication activities in the 2015 election
11. Networks and professionalization of media communication

Two other large research projects are associated with the centre (a Sapere Aude project and an EU project), and there are 9 associated PhD scholars.

Organisation and institutional embedding

The research centre has 14 researchers in permanent positions, 9 researchers in tenure-track positions and 9 associated PhD scholars (see appendix 1, list of members). Members are defined as researchers who over the project period have spent up to half of their research time on centre-financed research projects and other centre-related research activities. All members have met for seminars twice a year, and members meet much more often in each of the projects. All members were embedded institutionally at the Department of Communication, Business and Information Technologies (CBIT), which per 1.1.2016 changed to Department of Communication and Arts (CA). All members teach either at Communication Studies or at Journalism Studies.

The centre is headed by a reference group, consisting of 2 members from Communication and 2 members from Journalism, namely the four application writers: Bente Halkier, Kim Schrøder, Ida Willig and Mark Ørsten. At the beginning of the centre's existence, the reference group chose Bente Halkier as head of research in the centre. The purpose of the reference group is to support the fulfilling of the milestones in the research centre by way of helping to initiate research projects, by way of contributing to a constructive research environment, and by way of making decisions about major personnel and budget issues.

The centre has also had an international advisory board. The members were professor Sigurd Allern, Oslo University, Norway; professor Nick Couldry, London School of Economics, UK; and professor Karin Wahl-Jørgensen, Cardiff University, UK. The international advisory board visited the research centre for two days in January 2014, gave feedback on the quality of the research so far, and advised on what to think about research strategically further on.

The list of empirical research projects in this descriptive main part of the self-evaluation only lists the names of the projects, but in the next main part (the one on cross-cutting milestones), it will be explained how the members of the research centre have been cooperating about the projects in the centre. Only five of the projects are individual projects, and they are either embedded in cooperation with researchers outside of the university or in the research environment at CBIT/CA. Several of the

research projects (number 3, 5, 6 and 9) have been carried out in cooperation with a number of international research partners, and research project number 1 and 11 has involved researchers from Copenhagen University.

4 cross-cutting milestones to be fulfilled (max. 6 pages)

Research production: Peer-reviewed publications (BFI) and other research publications

As a way of reporting on the amount and quality of the research production, I would like to underline that this strategic research initiative focused on producing a substantial amount of empirical research. After only 3 years, it is usually unlikely to see a high published research output. We have spent a significant amount of time mainly on producing datasets and data analyses. The research production and cooperative publishing coming directly out of the strategic initiative is at its beginnings (see appendix 4, showing a list of work-in-progress publications among members). Thus, a large part of the already published peer-reviewed publications by members of the centre (see appendices 2 and 3) are of course content-wise related to the themes of power, media and communication but not necessarily directly drawing upon the strategic research initiative financing.

The material documenting the publication production for the strategic research initiative consists in four lists, produced by our university library. The four lists are lists of peer-reviewed research publications for each of the four years 2012-2015 (see appendices 2 and 3). The publications from the year 2015 have not yet been verified by the research librarians for exact BFI-points and levels. This is the reason why there are two different Excel documents for appendices listing publications. Furthermore, PhD scholars are not included in these lists.

The lists show several interesting results regarding the amount and quality of the research production.

To begin with the amount of publications, all in all 178 peer-reviewed research publications have been published by research members of Centre for Power, Media and Communication in the period from 2012-2015. With 23 members, this is roughly 1.9 peer reviewed publications per member per year, and thus above the minimum publication norm of 1.5 peer reviewed publications per researcher per year at the university.

Another type of measuring the amount of publishing is the number of BFI-registered journal articles, book chapters and books, published in both level 1 and level 2 journals and with both level 1 and 2 publishing companies. The BFI-lists can only show publications from 2012-14, because the 2015 publications are not yet verified. Over these three years, the members of the centre all in all published 83 BFI-registered articles, book chapters and books, and the real number is very likely to be bigger when the 2015 verification has been completed. 83+ BFI publications is more than the centre set out to reach in absolute numbers as milestone 9 (see under "Specific milestones defined by the research initiative"). This milestone was 48 BFI-publications. But this milestone was based on 13 members, and the centre ended up with 23 members by the end of 2015 (although only 14 researchers have been members for the whole of the period). If the number of BFI-publications is measured against number of members, the milestone said 3.7 per member, and the result without the 2015 numbers is 3.6 per member.

BFI-publications are also seen as one specific way of measuring quality of publication. Thus, roughly half of the peer reviewed publications in the centre create BFI-points, and slightly less than half of these BFI-publications are at level 2, meaning published in top-publications.

Another less usual way of looking at research publication output is to look at how many researchers have participated in producing the publications. One of the results of the international research evaluation in 2011 was that BFI-publication was limited to a number of individuals. A simple count of the publication lists from 2012-2015 shows that between 13 and 18 researchers out of the 23 researcher members each year have been authors of peer reviewed publications. This suggests that the publication pattern seems to be moving away from individual publications towards a majority of the researchers publishing together.

External funding/projects co-funded by the strategic research initiative

The Centre for Power, Media and Communication has focused on producing empirical research, and the 11 projects in the centre are funded by the strategic research initiative itself. These projects are briefly described below:

1. *The news week project*. Research project covering 4 data-sets: A large-scale sampling of all multi-modal texts from all news-outlets during one specific week (week 46) in 2012. A survey with citizens on their uses and perceptions of news (also in week 46). A survey with politicians and other stakeholders on their uses and perceptions of news (also in week 46). A survey with news-producers (journalists, editors etc.) on the production of news (also in week 46). Principal investigators: Professors MSO Mark Blach-Ørsten and Ida Willig.
2. *The campaigns project*. Research project covering 4 data-sets: A large-scale qualitative sampling of the content of public campaigns targeted towards citizens over a whole year, from 1.9.2013 – 31.8.2014. A diachronic qualitative sampling of public campaigns within environmental and health issues, 1964 – 2014 (planned to begin in January 2016). A qualitative sample on citizens' perception and handling of public campaigns based on focus groups (carried out in spring 2015). A survey on citizens' perception and handling of public campaigns (carried out in autumn 2015). Principal investigators Professor Bente Halkier, Associate Professor Pernille Almlund, Associate Professor Nina Blom Andersen and Professor Kim Schrøder.
3. *"Women in media industries in Europe"*. Research project based on comparative survey in 26 countries. Carried out in 2012-13. Principal investigator: Associate Professor Rikke Andreassen.
4. *"Local community, municipal democracy and political communication in a new media environment"*. Research project covering field work, qualitative interviews, media-text analysis and focus groups. Carried out in 2013-14. Principal investigators: Associate Professors Pernille Almlund, Nina Blom Andersen and Rasmus Kleis Nielsen.
5. *"Reuters digital news"*. Research project based on comparative survey in 12 countries. Carried out in 2013, 2014 and 2015. Principal investigators: Professor Kim Schrøder and Associate Professor Rasmus Kleis Nielsen.
6. *"Repertoires of news consumption in Denmark"*. Research project implementing an innovative mixed-methods approach to find patterns of news consumption among citizen-consumers. Carried out in 2014. Principal Investigator: Professor Kim Schrøder.
7. *"From maybe-readers to maybe-users"*. Research project combining qualitative interviews and diaries. Started in 2014. Principal investigator: Assistant Professor Jannie Møller Hartley.
8. *"Strategizing communication"*. Research project comparing findings from the campaign project (no 2 on the list) with interviews with campaign producers. Started in 2015. Principal investigator: Assistant Professor Ib Tunby Guldbrandsen.
9. *"Who makes the news"*. Research project based on comparative registering of women's presence in national news media in 114 countries. Started in 2015. Principal investigator: Associate Professor Hanne Jørndrup.
10. *"Campaigning across media platforms – Danish politicians and their communication activities in the 2015 election"*. Research project based on a combination of content analysis of seven morning papers and a content analysis of all tweets related to the national election. Started in 2015. Principal investigator: Professor MSO Mark Blach-Ørsten.
11. *"Network and professionalization of media communication"*. Research project combining structural data on the communication and journalism sectors with social network analysis. Started in 2015. Principal investigators: Professors MSO Mark Blach-Ørsten and Ida Willig.

In addition to this, two externally funded research projects associated with the centre have been obtained during the project period. These two projects are the following:

"New media – new intimacies". Sapere Aude research project in collaboration with University of Copenhagen and University of Southern Denmark, covering 6 sub-projects (3 Postdocs, 2 PhDs and 1 senior researcher project). Started in 2015. The primary investigator is Associate Professor Rikke

Andreassen who is a member of Centre for Power, Media and Communication. The total funding for Rikke Andreassen's part of the project is DKK 6,976,462.

"Food, convenience and sustainability" (FOCAS). EU-funded research project in collaboration with Sheffield University, UK; Gothenburg University, Sweden; and Bonn University, Germany. The project covers 4 sub-projects (as part of these, 1 Postdoc and 2 PhDs). Started in 2014. The senior partner from Denmark is Professor Bente Halkier of Centre for Power, Media and Communication. The total funding for Bente Halkier's part is DKK 1,523,654.

5 other applications have been sent out, but not received funding. 2 more funding applications are currently in the process of being evaluated (submitted 1 November 2016).

Development of PHD activities/courses

Development of PhD activities consists in several different things. One of the things Centre for Power, Media and Communication has done is to attract PhD scholars and associate them with the research environment. It should be noted, that the centre quite early made a decision not to use the strategic research initiative budget itself to fund a number of PhD projects, because of the primary goal of getting already established researchers to work together. Below is a list of the nine associated PhD-scholars, the title of their projects and the financing of the project.

Martine Bentsen: "Let's talk about Sex! On gender, power and news culture in the journalistic field" (financed by Roskilde University)

Rasmus Burkal: "Prevention through media" (financed by The Danish Emergency Management Agency)

Mads Kæmgaard Eberholst: "Cross border journalism and the public sphere in the Øresund region" (self-funded)

Frej Daniel Hertz: "Mediated knowledges, meal box-schemes and sustainability issues in everyday life." (financed by the EU project FOCAS)

Anna Valgerdur Johannsdottir: "The state of the news media in Iceland" (financed by the Icelandic Social Scientific Council)

Maria Strynø Nielsen: "Re-negotiations of handicap, visibility and intimacy in online information campaigns" (financed by the Sapere Aude project New media – new intimacies)

Maria Bendix Olsen: "Journalistic ethics and practices in Danish crime journalism" (self-funded)

Andrew Shield: "Immigration and belonging. Social media and dating-network among immigrants and ethnic minorities" (financed by the Sapere Aude project New media – new intimacies)

Henriette van Wylich-Muxoll: "Communication and prevention within the praxis of fire inspections" (financed by The Danish Emergency Management Agency)

Another PhD initiative in the centre was the international PhD course held in February 2015. The course was called "Media and power: Theoretical perspectives on analytical practicalities". The course had four international capacities as key notes, which at the same time functioned as open lectures for the whole of the university. The four international key notes were: Sigurd Allern, Oslo University, Norway; Rodney Benson, New York University, US; Tim Markham, Birkbeck University of London, UK; and Rens Vliegthart, University of Amsterdam, Netherlands. The course attracted PhD scholars from five different countries.

At the same time, members of the research centre have been responsible for other PhD courses, which

are mainly methodological courses such as “Auto-ethnographic text-production”, “Case-study methodology”, “ Focus groups as research method”, and “Journalistic communication of research”.

Lastly, we have had 6 PhD scholars from other institutions and other countries for shorter guest-visits during the period, e.g. from Belgium and Brazil.

Institutionalization of the research groups/teams within the research initiative

The character of the institutionalization of the different teams into the research initiative depends upon how you understand the term institutionalization.

If institutionalization is understood as melting together former research groups to one, the degree of institutionalization is relatively low. The specific history of the making of the strategic research initiative on power, media and communication gives clues to this. Very few researchers participated in formulating the initiative, and a large heterogeneous group of researchers from 3 former research groups and other institutions (new colleagues in the department) have ended up being active members. The size and the heterogeneity make it difficult to have a unified research environment.

However, if institutionalization is understood as creating active research sub-teams which are likely to live on after the period of the strategic research initiative, the degree of institutionalization is definitely higher. As noted above, a number of the empirical projects have been carried out by sub-groups of researchers, who are continuously cooperating, finishing data-production and analysis and planning research publications together.

Specific milestones defined by the research initiative (max. 4 pages)

One of the important things we did in the strategic research initiative within the first year was to revise the list of milestones from the application and the implementation plan. This was due to two reasons. First, because we revised the design of the different empirical data-sets to become analytically more precise. Second, because we realized that a slightly more realistic ambition regarding e.g. hosting international symposiums and PhD courses would be beneficial to the carrying out and finishing of the empirical projects.

Milestone 1: National kick-off seminar with researchers and media actors.

This milestone was met in March 2013 at Roskilde University, and here some of the first empirical results from project 1, “The news week project”, were presented.

Milestone 2: Common data-sets on production, content and use of news.

This milestone was met through “The news week project” (data collection in 2012). It ended up consisting in 4 quantitative data-set, 3 surveys with news producers, with policy makers, and with citizens, and a quantitative set of all news stories in the week 46 in 2012. A book is coming out in the beginning of 2016, called “The common agenda and all the others – a news week analysis of media content, media use and media expectations” (English translation of the Danish title), containing contributions from 17 of the members of the centre, across the original groups of communication and journalism researchers.

Milestone 3: Common datasets on production, content and use of campaigns.

This milestone has mostly been met as part of “The campaign project”, running from fall 2013. It covers 4

data-sets: A large-scale qualitative synchronic text/visual dataset of campaigns, where the sampling was finished in fall 2014 and the coding is nearly finished. A focus group dataset about citizens uses of campaigns, carried out early 2015. A survey about citizens' uses of campaigns, carried out November 2015. And a historical text/visual dataset of campaigns about health and environment, which is to be made in spring 2016. The part about production of campaigns is carried out as part of the project "Strategizing communication", and finishes in spring 2016 (no. 8 on the list).

Milestone 4: Common data-set on resources and conditions of the Danish media and communication business.

This milestone is going to be met by summer 2016, since the project relating to it is still running, namely "Network and professionalization of media communication". It combines structural data and social network analysis of the journalism and communication sectors.

Milestone 5: Initiating empirical research projects in particular analytical areas within the theme of the strategic research initiative.

A large part of this milestone has already been met. This milestone covers all the other projects than 1, 2 and 11 on the list of empirical projects. The projects that are already finished, and where publications have come out are "Women in media industries in Europe", "Local community, municipal democracy and political communication in a new media environment", and "Reuters digital news" (no. 3, 4 and 5 on the list). The projects which are still running are "Repertoires of news consumption in Denmark", "From maybe-readers to maybe-users", "Strategizing communication", "Who makes the news", and "Campaigning across media platforms" (no. 6, 7, 8, 9 and 10 on the list).

Milestone 6: To enlarge the European network connections of the researchers

This milestone has been met in several manners during the period of the strategic research initiative. First, there is the classic conferencing manner of networking. A large part of the researchers have participated actively with paper and with organizing sections or pre-conferences in a number of different international media- and communication conferences, such as ICA conferences and ECREA conferences and more specific international conferences such as "The democratic public sphere – current challenges and prospects" and "Future of journalism". Second, several of the empirical projects in our centre (no. 3, 5, 6 and 9 on the list) have been international comparative projects, of course also including other European and global partners. "Woman in media industries in Europe" covered research partners in 26 countries, "Reuters digital news" covered 12 countries, "Repertoires of news consumption" covered 12 countries, and "Who makes the news" covered 114 countries. Third, through our organising of an international PhD course, it was also possible to make new European connections, at junior as well as senior level.

Milestone 7: To organize and host an international PhD course within the themes of power and media.

This milestone was met in February 2015, when the strategic research initiative held the international PhD course, "Media and power: Theoretical perspectives on analytical practicalities". The course had four international key note speakers, attracted PhD scholars from five different countries, and was evaluated very well by the PhD scholar participants.

Milestone 8: To host a number of high-profile international lectures

The opening conference of the Centre featured a keynote lecture by internationally renowned Professor Michael Schudson, Columbia School of Journalism. Additionally, the four key notes at the PhD course, "Media and power: Theoretical perspectives on analytical practicalities" serve to fulfil this milestone. The

four key notes that served as international lectures were held by Sigurd Allern, Oslo University, Norway; Rodney Benson, New York University, US; Tim Markham, Birkbeck University of London, UK; and Rens Vliegthart, University of Amsterdam, Netherlands.

Milestone 9: Publication of 48 peer-reviewed research publications (BFI).

This milestone was almost met by the end of 2014 with 83 BFI publications, and although we cannot get a verification of the BFI publications for the year 2015, these would be likely to increase the number. The milestone was based on 13 members, and the centre ended up with 23 members by the end of 2015 (although only 14 have been members for the whole of the period). If the number of BFI publications is measured against number of members, the milestone said 3.7 per member, and the result without the 2015 numbers is 3.6 per member.

Milestone 10: Meeting about European research application.

This milestone has not been met yet. Such applications are at the drawing board, but due to the focus in the research initiative on producing empirical data and wanting to “stand on them” in order to invite for European comparison, the researchers are only becoming ready next year for initiating such a process.

Lesson-learned – reflection on strengths, weaknesses and challenges (max. 3 pages)

Strengths

There are four particular strengths for research to highlight from the ways in which the strategic research initiative, Centre for Power, Media and Communication, has been conducted.

First, the researcher members in both Communication and Journalism have now produced and have access to a large amount of relevant and interesting empirical datasets, which would never have been produced without the financial support of the strategic research initiative funding. To have such datasets enables research teams and researchers to increase the publication rate and to raise the quality of publications – after all, a majority of international peer reviewed articles are about empirical results. To have such datasets also enables researchers to have a more interesting and qualified starting-point as potential partners in applications for external funding, both nationally and internationally. Typically, to have done specific earlier datasets enables researchers to become more precise in applications and funding targeting.

Second, there is already now a comparative international embedding of research and datasets, which would not have been there if the strategic research initiative had not existed. This is for example the case with the international cooperation around project no. 5, “Reuters digital news”, where the participation in three years has now made the research team a permanent member of the research consortium around this project. Thus, the investment of strategic initiative funding for three years has resulted in an ability to participate “for free” on a continuous basis. Another example which we expect to have the same kind of potential is the project “Who makes the news” (no. 9).

Third, the ways in which the strategic research initiative has been organized in terms of producing common datasets and handing out project money to members (by application) seems to have supported in particular the younger researchers (Assistant Professors and young Associate Professors) in their research endeavors. This is the case for the research projects 1, 2, 4, 5, 7, 8 and 9, where younger researchers are at the core of the research teams or at the core of the users of the datasets for analysis and publishing. Furthermore, during the course of the centre, one of the newly appointed Associate Professors managed to obtain funding from the Danish elite programme (Sapere Aude) in 2014, and another newly appointed Associate Professor won a prestigious Danish research price (Tietgenprisen), also in 2014.

Finally, it has been a strength to have a better than usual access to funding for presenting the research

initiative's findings at international conferences. This is something that is decidedly under-funded at Danish universities, where it is almost necessary to have external funding in order to be able to present papers at international conferences.

Weaknesses

In particular two weaknesses are worth mentioning here, because there are lessons to be learned from them in relation to organizing and carrying out strategic research initiatives in the future.

First, if one of the goals of establishing strategic research initiatives is to create new and well-functioning research environments, it can be debated whether working with such a large and heterogeneous group of researchers is productive for such a goal. Thus, in spite of some cross-fertilizing initiatives across Journalism and Communication, one of the weaknesses of the centre can be seen to have been the large number of members and the relative differences in research interests of members taken together. This characteristic has been productive in terms of establishing many sub-teams and sub-projects. But some of the difficulties have consisted in establishing a collective discussion and reflection culture across the entire group of researchers, something which would have been very beneficial especially for the associated PhD scholars and Assistant Professors.

Second, the specific history of "laying down the tracks while the train is running" of Centre for Power, Media and Communication has been productive in relation to the openness to initiating different kinds of research within this research organization. But at the same time, these kinds of organizational processes can be seen as a weakness. The comparatively loose initiation (from the side of the university as funder) and the necessity of establishing nearly all criteria for decisions, projects and organizational set-up while the centre was running (inside the centre) has made it somewhat difficult to obtain more than the absolutely necessary degree of coordination and direction of the research.

Challenges

Some of the hopes regarding the strategic research initiatives expressed by the Rectorship concerned creating better collective research environments and obtaining a higher amount of external research funding and higher research productivity. These are common goals at universities in general and thus worth reflecting upon. In relation to Centre for Power, Media and Communication, these goals also suggest some of the challenges for the existing and potential working of the research environment.

First, it has been mentioned earlier that the size and heterogeneity of the centre has been productive for the number and diversity of sub-projects with active researchers working together in teams, but also that these characteristics can be seen as difficulties in relation to a common reflection and discussion culture. There have been and still are disagreements among the members about the status of the whole group (is it a research group, or something less obliging?) and the time-frame of the group (is it existing for the period of the strategic research initiative funding, or is it going to continue in some form afterwards?). This situation has made it a challenge to engage in clear external communication about the centre and/or branding of the research identity of the centre, something our international advisory board pointed out as a problem at their two-day seminar with us in 2014, and which is still a challenge two years later.

Second, in the sub-projects of research in the centre, research members have enthusiastically participated in producing datasets and analyses, which was definitely one of the important goals of the research initiative. But one thing is to cooperate about producing empirical data and analysis when there is funding. A different matter is to move these kinds of recently established team-work on to actually making even more international networking and applications for external research funding and thereby profiting further from the beginnings of research cooperation when academic everyday life sets in.

Third, there is no doubt that the publishing by members of the centre have benefitted from the research initiative funding, and has potential for publishing much more over the next years. This was something our international advisory board also noticed already at our seminar with them in 2014. But one thing is

to have the datasets, some analyses and potential. Researchers also need to have time to do more analysis and writing in order for publications to come out of it. Here, it is a challenge that the researcher members all belong to a mixture of social sciences and humanities, the kinds of academia where the teaching loads are comparatively high.

Input to ideas about future strategic research initiatives

The advantage of having had four quite different types of strategic research initiatives is of course that the ways of organizing research, the kinds of research goals, the research processes, and the research results can be compared to the benefit of variety in research.

But openness and variety do not have to be in opposition to a little bit more clarity and structure in the organization around the planning of strategic research initiatives in the future. Some of the difficulties we have been experiencing in our centre would have been less pronounced if the demands for the original applications had been clearer, more explicitly structured and more comparable to ordinary research funding applications. An example of this could be that the material from the university, inviting applications, contained demands about e.g. more precise descriptions of the research organization and at least a number of research projects would have been demanded.

Also, further demands were introduced along the way in the process when the funding had already been decided, which made goal implementing more difficult than it ought to have been. An example of this was the demand for strategic research initiatives to deliver external funding and guest PhD scholars as a contribution to the development contract of the university. We suggest that all demands to future strategic research initiatives should be made known at the time of the application.

Evaluation of Strategic Research Initiatives at RUC

*Strategic Research Initiative: **Power, Media and Communication (PMC)***

*Evaluator: **Alan Irwin, Copenhagen Business School***

I: Comments on the Strategic Research Initiative (SRI)

First of all, let me thank the RUC leadership and administration for ensuring that this was an open, informative and constructive process. There was clear communication throughout and all requests for clarification and assistance were dealt with speedily and efficiently. I would also like to thank the PMC team (and especially Bente Halkier) for being so generous with their time and for the collegial and reflective manner in which they conducted the evaluation process. This appreciation applies equally to the senior and junior colleagues I met, who were without exception enthusiastic to discuss the Initiative and eager to reflect upon its implications. My visit lasted only one day (with a preparatory dinner the evening before). However, I do feel that I learnt a lot and enjoyed many fruitful discussions in a very condensed period. This engaged and questioning spirit reflects well upon RUC as a university.

I should also state from the outset that three years is a rather short period against which to measure research production or external funding. This issue was much-discussed during my visit – once again in rather open and candid terms. There is also the related challenge of demonstrating that the achieved outputs (eg BFI points or research funding) could not have been possible without the SRI. I have to say also that the raw publication data provided from the University's database did little to address these issues but simply presented a long list of outputs. In this situation, I have relied heavily upon my own judgement with regard to what I learnt from the visit and associated documentation.

Turning to my more substantive comments, it is noteworthy that this SRI adopted the approach of using the available funding to conduct a range of empirical research projects. One highlight of my visit was the chance to hear more about four of these projects: the news week project, the campaigns project, the local community and political communication project, and the Reuters digital news survey project. In my opinion, this has been a very successful strategy for PMC. There are several factors underlying this judgement. First of all, it has allowed the development of an important body of material in a specifically-Danish context. Secondly, as in the 'Reuters' project, it has created important cross-connections and linkages with international research. Thirdly, it has positioned this group as a strong partner for future comparative projects. Fourthly, and not insignificantly, it has enabled a not-so-large amount of funding to go a rather long way (a recurrent theme within this report). Fifthly, and here we can take the 'news week' project as a good example, it has brought closer together a group which tends to present itself as 'heterogeneous' and divided in certain ways (not least in terms of the relationship between communication and journalism).

Developing further this last point, there are a striking number of empirical, methodological and theoretical connections across the projects and it is not hard to conclude that co-working on common databases and empirical projects has created new possibilities for collaboration. I would strongly encourage colleagues to maintain the momentum which has been built up here. Furthermore, if the intention was to build data sets which could provide a solid empirical foundation for future activities, then this important resource must be 'mined' and exploited to the full.

At a more basic level, there was also much comment during my visit concerning the possibility provided by the SRI of gaining access to rather modest but very necessary resources on a fast and fluid basis (and not least as seed corn support). On the one hand, this allowed initiatives to be taken quickly – what was presented as 'guerilla research' (eg seizing the opportunity provided by the Danish general election). On the other, this was contrasted with a rather gloomy picture of alternative funding sources within RUC. In discussing the initiative therefore there was also considerable concern as to what would take its place in both everyday and more strategic terms.

Having noted the methodological difficulty in linking the Initiative to output measures, there is certainly evidence to suggest a beneficial and productive impact – both in terms of peer-reviewed publications and two new externally funded projects. Crucially also, I was presented with evidence that support to PhD scholars and early-career academic staff had been strengthened by the Initiative. In addition, and as presented in the PMC self-evaluation, the milestones seem largely to have been met – and in certain areas exceeded. Perhaps as importantly, there are well-developed plans for the immediate future: including a shared book project based on the news week material, co-authored journal papers developing from the multi-dimensional 'campaigns' project and a range of more specific planned and pending outputs.

Given the strong relevance of many of the questions researched to the national context (and indeed the high level of demand for such material at a local level), it is entirely appropriate that several of PMC's published outputs should be in Danish. However, the international visibility of this group would be further enhanced by a coordinated series of high-impact English language publications drawing upon the Initiative. I would recommend that the balance of national and international publications continues to be a matter of discussion within PMC.

Unfortunately, there was insufficient time within the visit to explore fully the 'power' dimension which is placed so centrally within this SRI – although enough was said (and also stated in the self-evaluation document) to indicate that this was being interpreted in a rather broad and plural fashion. This in itself is satisfactory, but it could be a useful exercise to bring together the 'power' discussion in a more ambitious and integrative fashion, perhaps in a joint publication exploring power-media-communication relations. This could be another way of marking this group apart from its international collaborators and competitors.

At several points during my visit, the issue was raised of the changing institutional demands on the SRIs with new measures added along the way. There were references also to the fact that the SRIs were established during a 'previous regime'. Focusing on PMC for now, it is clear that colleagues would appreciate a signal from the University's leadership as to whether this style of working was a hangover from an earlier time or (so to say) the shape of things to come. These questions were seen

to be especially pressing in the context of new organizational structures at RUC. Would PMC be strengthened by the new arrangements or would it get lost amidst the institutional changes? Would this form of cross-disciplinarity be emphasized or left to individual sections and departments? Perhaps encouragingly, junior colleagues were especially articulate in arguing that responsibility for maintaining momentum (and 'for keeping this alive') at least partly resided with them.

It is worth noting one observation made during the evaluation concerning the direct contribution of PMC to education at RUC – especially in terms of the development of texts which could be immediately employed for teaching purposes. It was suggested that there was a general shortage of appropriate material for student use and that these outputs therefore satisfied an important need.

Although there was not much opportunity within the visit to explore the local organisation of this SRI, my general impression from the open and self-reflective nature of the discussion was that this had worked well. In addition, one junior colleague wished to register the 'exceptional' contribution of PMC's leader (Bente Halkier) and this was warmly supported by the rest of the group in question. I was not informed of any organisational clashes or management tensions around this SRI – for example, concerning the relationship between PMC and established departmental, career development and reporting structures. However, it was suggested that there were those (un-named) within RUC who continued to question this form of strategic prioritization. Equally, it is not hard to imagine a certain sensitivity among those who not only do not fit within PMC but who may also lack access to other funds within RUC (as one PMC colleague put it: 'this is just about the only game in town').

Overall, the impression gained during the evaluation of PMC was that a lot had been gained with relatively few resources, that perhaps-unexpected synergies and collaborations had been achieved, that the quality of research within RUC had been boosted, that an impressive series of databases and empirical materials had been created (representing an important resource for the future), and that both established and emerging scholars had been supported by the Initiative. In all these respects, the Power, Media and Communication initiative has been a noteworthy success.

Looking forward from here, the key question will be whether this shift in quality and culture can be maintained both at an institutional and a more local level. Certainly the issue of 'what will take its place?' came up regularly – representing both support for what has been and a challenge from here (especially in the context of limited resources).

As my final comment in this section on PMC, I would generally encourage colleagues to think as ambitiously as possible about how to ensure maximum impact from the work that has been done. As one suggestion, why not build upon RUC's acknowledged strength and the positive experience of this initiative to construct a (virtual or physical) world-leading 'Roskilde School of Communication'? Of course, this could build upon the foundation provided by PMC but also extend further – partly by drawing upon national and international funding sources. RUC already has an excellent reputation in this area and this would be a means of lifting this even further. I hope this suggestion will at least inspire future discussion within RUC.

II: Further observations concerning the strategic research initiatives more generally

It follows from this specific evaluation – and also from some discussion with the other evaluators – that the SRIs have represented an important and worthwhile initiative. Generalizing from my particular encounter with PMC, one can suggest that they have benefits in terms of achieving a large amount of productive collaboration with relatively-small resources, allowing flexibility to local needs at a ‘bottom-up’ level, bringing together and supporting scholars at different career stages, providing much-needed ‘seed corn’ and small-scale incentives, working across the usual institutional groupings and facilitating cross-disciplinary connections, permitting cooperation with external stakeholders, embedding research internationally, strengthening RUC’s research standing, offering strategic direction and raising the overall University profile.

Based again on what I have learnt in the specific context of PMC, SRIs also face a number of challenges including: the requirement for clear institutional prioritization and transparent decision-making processes when establishing such initiatives, the need to establish a balance between local initiative and accountability to the centre, the necessity for a clear ‘fit’ between specific initiatives and external funding sources (whether at national or European levels), the need for a long-term commitment to the area in question, the requirement for strong local initiative leadership which can lift the area as a whole, the need for widespread collaboration and support across RUC (crucially including department heads), and (not least) the obvious danger that such a forward-looking investment can appear vulnerable, and even marginal, during a period of economic constraint.

III: Recommendations for future practice: possibilities/potential for development

1. RUC is to be congratulated on establishing the SRIs and continuing their support through a period of great institutional change and budgetary challenge. Equally, the initiative leaders and those working with the SRIs have shown great tenacity and commitment through this same period. As suggested in this short evaluation, strategic research initiatives can offer significant advantages to the University.
2. It is important that such initiatives fit squarely with – and broadly underpin – the University’s strategic direction and that they are given at least medium-term support. It follows also that ‘buy in’ from internal stakeholders (including heads of department) is essential for their successful operation.
3. Of course, a higher level of funding to each initiative is likely to achieve greater results. However, the case of PMC suggests that a lot can be achieved with the current annual funding level. At the same time, a five year period of operation would allow a greater ‘institutionalization’ of initiatives (especially in terms of attracting external funding).
4. With specific regard to PMC, it is worth considering the development of a ‘Roskilde School of Communication’ which builds on the foundation constructed here and raises the national/international profile of this activity at RUC.
5. While the emphasis within this evaluation has been on the research implications of strategic research initiatives, a strong case can also be made for the educational potential of this general approach.

6. One significant lesson from the PMC initiative concerns the enormous value of making small and accessible sums available for academic activities at a local level. This point takes on particular weight during institutional savings exercises when such 'seed corn' can easily become lost.
7. Whilst some level of monitoring and accountability is obviously required, it is essential that initiatives are given the flexibility and space to operate within their agreed terms of reference. This means also that different initiatives should be allowed to take shape in an individual fashion (eg in terms of goals, funding allocation and activities).
8. In considering future initiatives, it will be especially important to take account both of the needs of senior staff but also early-career colleagues and PhD scholars. One main criterion for SRI funding should be the potential to develop a new generation of academic staff and research leaders.
9. Strategic research initiatives should have the development of strong external links (both nationally and internationally) as a primary purpose. One element within this should be a clear strategy for attracting further funding from carefully-targeted sources. Institutional support for such strategic fund-raising efforts should be a priority area for RUC.
10. RUC should take full advantage of the opportunity provided by this evaluation exercise to debate the future of strategic research initiatives. In addition, and whatever the fate of SRIs from here, RUC should make every step to discuss and as appropriate carry forward both the specific and wider lessons learnt.

Reflections upon the evaluation of the strategic research initiative, “Power, Media and Communication”

Let me begin by thanking our evaluator Alan Irwin for the constructive, collegial, systematic and reflected manner in which he has taken part in the evaluation process and written the evaluation report. The evaluation has given us as researchers many important lessons about organising, supporting and internationalising our research.

I have a number of observations about the future of our strategic research initiative, “Power, Media and Communication” (PMC) in the light of the evaluation report. They are all related to ways in which the researchers, the department and the university can seize the momentum, which clearly has been built up by PMC.

First, there are things that we as the active researchers from PMC can do. Apart from the obvious things, such as carrying through planned national and international publications, submitting research applications and participating in international cooperation, there is one thing in particular that we as researchers can do. In the evaluation, it is recommended that we consider the development of a “Roskilde School of Communication”. This is indeed what we are doing. At the moment, we are sounding out colleagues from PMC and other colleagues from communication, journalism and performance design on the possible establishing of such an umbrella-organisation. This kind of organisation could work internally to encourage continued and new research collaborations, and externally work as a clearer branding of the research and an opportunity to strengthen further our external links with international colleagues and research groups. It is important that such an organisation allows for the researchers to continue or re-think their research groups freely in relation to such an organisation. Furthermore, this could be important for especially the early-career colleagues by supporting the organisation in research groups and project-teams.

Second, Department of Communication and Arts can support the seizing of the research momentum from PMC by allowing institutionally the establishment of a “Roskilde School of Communication” and giving such an organisation a place in the departmental structure of research organising, a link to the educational organisation in the department and a place in the external communication from the department. Furthermore, the department can build on the research momentum in the staff recruitment processes.

Third, Roskilde University can support the seizing of the research momentum from PMC by doing two things. The first thing is to give the researchers who are trying to establish a “Roskilde School of Communication” the institutional flexibility to organise themselves according to their decisions about goals, activities etc. The second thing is to reflect upon the lesson from the evaluation about gaining a lot research-wise with relatively few resources, and consider – even in times of institutional savings exercises – a measure of economic “seed corns”.

Bente Halkier

Prognose 1 2016

Prognose 1 er udarbejdet på baggrund af det realiserede forbrug i årets første fire måneder samt enhedernes nuværende forventninger til årets samlede forbrug. Prognose notatet indeholder ligeledes første forecast for 2017. Forecastet er udarbejdet med udgangspunkt i budgetteamets fremskrivning af 2016 suppleret med enhedernes input til fremskrivningen.

1 PROGNOSE 1

1.1 Prognosens resultat samt vurdering af prognosens usikkerhed

Det realiserede resultat for årets første fire måneder angiver et ganske pænt overskud set i forhold til forventningerne til årets samlede resultat jf. tabel 1. Denne større forskel skyldes hovedsagligt at omkring halvdelen af årets finanslovs indtægter bogføres indenfor årets første fire måneder, idet bogføringen af STÅ-indtægterne følger den realiserede STÅ-produktion for studieåret 2015/16. Mens hovedparten af omkostningerne – nemlig lønomkostningerne – er mere ligeligt fordelt på alle årets 12 måneder.

Alle budgetenheder har foretaget en revurdering af deres forventninger til årets samlede indtægter og omkostninger med den nuværende viden om årets aktiviteter. I det store hele har alle budgetenheder nu en mere positiv forventning til årets resultat end ved budgetlægning i efteråret 2015. Idet forventningerne ved prognose 1 angiver et underskud på 18,4 mio. kr. for 2016, hvilket er en forbedring på 7,2 mio. kr. i forhold til budgettet for 2016.

Den største forbedring af forventningen til årets resultat ses i Fællesadministrationen, som angiver en forbedret forventning til årets resultat på 5,9 mio. kr. Forbedringen består af flere mindre forhold, såsom vedligeholdelses/forbedringsprojekter, der er blevet billigere, samt besparelser på lønmidlerne pga. af vakancer.

Tabel 1: Resultat, Budget og Prognose pr. april 2016 (indtægter er positive)

<i>mio.kr.</i>	R16 jan-april	B2016	P1 2016	Forskel P1-B
Kommunikation og Humanistisk Videnskab	36,0	34,5	33,3	-1,1
Mennesker og Teknologi	23,4	14,6	14,9	0,2
Naturvidenskab og Miljø	-2,2	-20,5	-19,8	0,8
Samfundsvidenskab og Erhverv	15,4	11,7	13,2	1,5
Biblioteket	-6,9	-28,6	-28,6	0,0
Mellemsum	65,7	11,7	13,1	1,4
Fælles administrationen	1,6	-37,3	-31,5	5,9
I alt	67,3	-25,6	-18,4	7,2

Ser man på de samlede indtægter, så angiver prognose 1 en forventning om øgede indtægter på ca. 2 mio. kr., og lavere lønomkostninger på ca. 8 mio. kr. Disse to forbedringer af årets resultat på 10 mio. kr. modsvares dog af en forventet stigning i øvrige driftsomkostninger på 3 mio. kr.

Tabel 2: Vurderingen af usikkerheden på årets resultat ved prognose 1 2016 (ift. B2016)

Budgetpost	Bemærkninger	Beløb	Procent af samlet budgetpost
STÅ-Indtægter	Indtil sommerekksamenen er afholdt må der stadig påregnes en vis usikkerhed på realiseringen af de resterende STÅ.	+/- 4,5 mio. kr.	1,5 pct.
Finanslovsindtægterne (TB)	Risiko for endnu en dispositionsbegrænsning el.	+/- 3 mio. kr.	0,5 pct.
Tilskudsfinansierede område	Usikkerhed på overhead-indtægter fra den ikke-realiserede del af omsætningen.	+/- 1,5 mio. kr.	7,5 pct.
Færdiggørelsesbonus	Usikkerhed ift. både antal færdige og endelig afregningstakst	+/- 4 mio. kr.	10 pct.
Øvrige indtægter (dvs. ikke Finanslov eller tilskudsfinansierede område)	Der er pt. fokus på budgettering af disse indtægter, idet det kan konstateres at posten er budgetteret ca. 10 mio. kr. lavere end der er realiseret de seneste par år.	+ 10 mio. kr.	40 pct.

Samlet set er det vurderingen at udsvinget på årets resultat i forhold til det budgetterede underskud på 25,6 mio. kr. ligger i spændet mellem en forbedring på 23 mio. kr. og en forringelse på 13 mio. kr. – dvs. i spændet mellem et underskud på 2,6 mio. kr. og et underskud på 38,6 mio. kr. jf. tabel 2.

Det er på nuværende tidspunkt vurderingen at årets resultat med 90 pct. sandsynlighed ligger i spændet mellem 15 og 22 mio. kr. i underskud.

1.2 Status for heltids-STÅ

Det oprindelige budget for 2016 angav en produktion af heltids-STÅ på 5.638 STÅ svarende til en taxameterindtægt på 302,9 mio. kr. Forventningen ved prognose 1 er en mindre stigning i indtægter til trods for et fald i antal STÅ, jf. tabel 3 nedenfor. Forskellen skyldes, at det hovedsagligt er forventningen til produktionen af lavtakst STÅ, der er faldet. Samtidigt er der en mindre stigning i forventningerne til produktionen af mellemtakt STÅ.

Ser man på hvor stor en andel af heltids-STÅ, der allerede er realiseret, så svarer niveauet til de tidligere år, idet omkring 60 pct. af den forventede STÅ-indtægt er realiseret efter april måned 2016.

Tabel 3: STÅ-indtægter (heltidsstuderende)

Heltids-STÅ	R2015	B2016	P1 2016
Antal	5.542	5.638	5.580
Mio. kr.	301,6	302,9	303,4

1.3 Indtægter fra ekstern finansiering

I budgettet for 2016 er der budgetteret med en omsætning på ekstern finansiering på 103,5 mio. kr. samt en forventning om en overheadprocent på 20 pct. I årets første fire måneder er der realiseret en omsætning på ekstern finansiering på 19,6 mio. kr. med en overheadprocent på 14,7 pct.

Tabel 4: Omsætning på ekstern finansiering

<i>mio.kr.</i>	R15 jan-april	B2015	P1 2015
Kommunikation og Humanistisk Videnskab	4,2	19,4	19,0
Mennesker og Teknologi	5,6	31,6	29,9
Naturvidenskab og Miljø	5,5	23,1	26,9
Samfundsvidenskab og Erhverv	3,3	24,8	19,7
Biblioteket	0,0	0,4	0,4
Fælles administrationen	0,9	4,2	4,2
i alt	19,6	103,5	100,1

Som det fremgår af tabel 4 er forventningen til den samlede omsætning på ekstern finansiering faldet med 2,4 mio. kr. – faldet dækker dog over både stigninger og fald for de enkelte budgetenheder. Det skal bemærkes at faldet på Institut for Samfundsvidenskab og Erhverv hovedsagligt skyldes opretning af en budgetteringsfejl. Med de ændrede forventninger til samlede omsætning er ligeledes ændret i forventningen til overheadprocent, som er samlet set er faldet til 19,5 pct.

1.4 Status for kapitalforvaltningsaftalerne

Kursværdien af universitetets to porteføljer er i årets første fire måneder steget med omkring 2 mio. kr. svarende til 1,1 pct. af den samlede investering på 180 mio.kr. Hvilket vurderes som højt, og skaber god sandsynlighed for, at det samlede billede for 2016 som minimum ender på samme niveau som i 2015 – med et positivt, men lavt afkast.

I forlængelse af drøftelserne på seneste bestyrelsesmøde monitoreres udviklingen løbende, og bestyrelsen vil få forelagt en indstilling, såfremt der er behov for en ændret strategi.

Kapitalaftalerne er i henhold til bestyrelsens mandat indgået med en meget lille risikoprofil, hvor "kapitalbevarelse" har større fokus end høje afkast. Såfremt universitetet ikke havde indgået kapitalforvaltningsaftalerne ville kapitalen være blevet forrentet på universitetets konto i Statens Koncern Bank (SKB), som pt. giver nul procent i rente.

2 FØRSTE FORECAST FOR 2017

2.1 Beregningsgrundlag

Målet med det første forecast er at give et første bud på et rammebudget for 2017. Første forecast for 2017 er udarbejdet af budgetteamet med udgangspunkt i fremskrivninger af udviklingen i STÅ-produktionen under hensyntagen til dimensioneringskravene og generelle fremskrivninger af universitetets økonomi under hensyntagen til Finanslovtal med tilhørende besparelseskrav.

Budgetteamet har været i dialog med alle budgetenheder, som har haft mulighed for at kommentere på forecast-tallene. Budgetenhedernes bemærkninger har dannet grundlag for vurderingen af usikkerheden på forecastet samt vurderingen af de økonomiske udfordringer.

2.2 Forecast 2017 – indtægter

Som det fremgår af tabel 5 så angiver forecast 1 for 2017 et indtægtsniveau på 748,2 mio. kr., hvoraf de 621,8 mio. kr. er Finanslovindtægter.

Tabel 5: Første forecast for 2017 – indtægter

	Forecast 1 2017
mio. kr.	Indtægter
Basistilskud	243,8
Øvrige formål	37,7
STÅ forudsætninger	297,0
Eksterne tilskud + overhead	101,9
Bonusordninger	37,5
Deltidsuddannelse taksameter + deltagerbetaling	14,1
Udvekslingstuderende samt fripladser og stipendier	3,6
Indtægter i øvrigt	12,6
Finansielle poster	0,0
Indtægter i alt	748,2

Som tidligere nævnt så er der pt. fokus på budgetteringen af de indtægter, som hverken kommer fra Finansloven eller fra det tilskudsfinansierede område. Da analysen af disse indtægter stadig pågår, så kan der i forhold til forecast tallene ligeledes være tale om et lidt for lavt indtægtsniveau på disse øvrige indtægter.

2.3 Forecast 2017 – omkostninger

I tabel 6 nedenfor er opstillet tre scenarier for udviklingen i universitetets omkostninger i 2017. Det første scenarie bygger på den rammeberegningsmodel, som universitetets har anvendt de seneste mange år, hvor man tager udgangspunkt i det foregående års rammer (renset for "engangsomkostninger"), og derefter opskriver med en årlige pris- og løntalsregulering (pt. nul pct.) samt finanslovens to pct. besparelse. Dette scenarie svarer til at gennemføre en to pct. "grønt-høstningsbesparelse".

Scenarie 1 giver en økonomiske udfordring på 2,2 mio. kr. i forhold til at nå en driftsmæssig balance for 2017.

Tabel 6: Første forecast for 2017 – omkostninger

	Forecast 1 2017 Omkostninger		
	Scenarie 1	Scenarie 2	Scenarie 3
<i>mio. kr.</i>	2 pct. besparelse	Nuværende (p1-16)	Forlængelse af 2016
Lønudgift	507,5	523,5	519,5
Øvrig drift	242,9	260,0	255,5
Omkostninger i alt	750,4	783,5	775,1
Årets resultat	-2,2	-35,3	-26,9

I scenarie 2 er der taget udgangspunkt i et omkostningsniveau, svarende til det omkostningsniveau, der netop er vurderet for 2016 (dvs. prognose 1 2016 omkostningsniveauet).

Scenarie 2 angiver en økonomisk udfordring på 35,3 mio. kr. i forhold til at nå en driftsmæssig balance for 2017.

I det sidste scenarie 3 er taget udgangspunkt i budgetenhedernes vurdering af omkostningsniveauet i 2017 givet den nuværende medarbejderstab og det nuværende aktivitetsniveau – dvs. med nuværende kendte besparelse, men uden de senest besluttede besparelser, hvor den konkrete udmøntning endnu ikke er helt kortlagt.

Scenarie 3 giver en økonomisk udfordring for 2017 på 26,9 mio. kr., hvilket er på niveau med forventning fra genopretningsplanen, som angav et tilpasningsbehov i 2017 på 24,3 mio. kr.

Genopretningsplan er gengivet i tabel 7 på næste side. Planen er opdateret i forhold til regnskabet for 2015, og det vedtagende budget for 2016, mens indtægts- og omkostningstallene for årene 2017 til 2018 er bibeholdt, som de så nu i efteråret 2015.

I tabellen fremgår tilpasningsbehovet for 2017 som 40,6 mio. kr., hvor af de første 16,3 mio. kr. er indeholdt i budgettet for 2016 ved gennemførelsen af varige besparelser (dette er angivet i den grønne række). Ifølge genopretningsplanen udestod, således stadigt et besparelsesbehov på 24,3 mio. kr. i 2017.

Tabel 7: Genopretningsplanen – opdateret med regnskab 2015 og vedtaget budget 2016

	Mio. kr.	Budget		Budgetoverslag		
		R2015	2016	2017	2018	2019
Indtægter		770,6	763,4	758,0	752,3	705,7
Lønoms-kostninger		534,9	530,6	539,3	543,1	543,1
Øvrig driftsomkostninger incl. finansielle poster		251,5	258,4	259,3	261,2	261,2
Resultat før tilpasning		-15,825	-25,633	-40,6	-52,0	-98,6
Tilpasning vedr. 2016 i 2016				16,3	16,3	16,3
Rest tilpasning vedr. 2016 i 2017				16,3	16,3	16,3
Tilpasning vedr. 2017 i 2017				8,0	8,0	8,0
Tilpasning vedr. 2018 i 2018					11,4	11,4
Tilpasning vedr. 2019 i 2019						46,6
Egenkapital genopretning					0,0	0,0
Resultat efter tilpasning		-15,8	-25,6	0,0	0,0	0,0
Egenkapital primo		82,1	66,2	40,6	40,6	40,6
Resultat efter tilpasning		-15,8	-25,6	0,0	0,0	0,0
Egenkapital ultimo		66,2	40,6	40,6	40,6	40,6
Egenkapital i pct. af indtægter			5,3%	5,4%	5,4%	5,8%

NB: Rækken "Tilpasning vedr. 2016 i 2016" er markeret grøn, som udtryk for at denne tilpasning er gennemført ved vedtagelsen af budget 2016.

Det tredje scenarie bekræfter således at der stadige udestår et besparelsesbehov i 2017, som ligger i størrelsesorden af 27 mio. kr. Dette besparelsesbehov vil skulle konkretiseres og indarbejdes som led i arbejdet med andet forecast for 2017, som forelægges bestyrelsen i forbindelse med prognose 2 for 2016.

De 11 besparelsetiltag, som er vedtaget i forlængelse af Struensee-rapporten, vil skulle danne grundlaget for realiseringen af det samlede tilpasningsbehov i 2017, 2018 og 2019.

Frem mod vedtagelsen af budgettet for 2017 vil dermed blive arbejdet med at få fastlagt en profil for gennemførelsen af de 11 besparelsesinitiativer, som vil sikre at kan budgetteres med en drift i balance for 2017 – og dermed overholde genopretningsplanen. De 11 tiltag og deres samlede forventede provenu fremgår af nedenstående oversigt:

(1) Bygningsmassen	28,0
(2) Undervisningstilrettelæggelse	3,8
(3) Studieadministration og studiestruktur	9,7
(4) Økonomistyring	0,0
(5) Indkøb	10,5
(6) Øvrig administration	13,0
(7) Fag, uddannelser og normer	15,0
(8) Øvrige ændringer	1,0
(9) Universitetsbibliotek	3,5
(10) Indtægter	5,0
(11) Ph.d. området	5,0
i alt	94,5

3 OPSUMMERING

Prognose 1 angiver stor sandsynlighed for at budgettet for 2016 vil kunne holdes, og åbner gode muligheder for opnå et mindre underskud end oprindeligt forventet.

Det første forecast for 2017 viser, hvordan omkostningsniveau er på vej ned (jf. de mindre udfordringer i scenarie 3 end scenarie 2), men også at de økonomiske udfordringer, som blev konstateret i efteråret 2015 stadig er gældende. Forecastets scenarie 3 bekræfter det tilpasningsbehov, som genopretningsplan påviste.

Forecastet underbygger nødvendigheden af, at igangsætte de besluttede besparesestiltag, således at der allerede i 2017 kan opnås en besparelse i størrelsesorden af 26,9 mio. kr.

Frem mod prognose 2 for 2016 og andet forecast for 2017 vil der blive arbejdet med at få fastlagt en besparelsesprofil for de 11 besparesestiltag, som sikre et besparelsesprovenu i 2017 på omkring 27 mio. kr. Således at der vil være muligt at ophøje andet forecast for 2017 til budget for 2017. Derudover vil besparelsesprofilen være et væsentligt input til arbejdet med budgetoverslagene for 2018, 2019 og 2020, som ligeledes skal udarbejdes i tilknytning til prognose 2 for 2016.
