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Subject
Human Resources Strategy for Researchers incorporating the Charter and Code

Erasmus University Rotterdam endorses the principles of the European Charter for researchers and European Code of Conduct for the recruitment of researchers.

As part of our endorsement of the Human Resources Strategy for Researchers, a project had been started with the aim of implementing the principles in the Charter and Code. Erasmus University has established an action plan based on the internal analysis.

We kindly request that you acknowledge our adoption of the Human Resources Strategy for Researchers and that you award Erasmus University with the "HR Excellence in Research" logo. Enclosed you will find our formal application, including appendices.

The Executive Board of Erasmus University Rotterdam,

Prof.dr. H.A.P. Pols
rector magnificus

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

"Human Resources Strategy for Researchers Erasmus University Rotterdam"

26 August 2014

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1   About the Erasmus University

The Erasmus University Rotterdam (EUR) has been in existence in its present form since 1973. Its history, however, dates back to 1913, the year in which the Netherlands School of Commerce was founded through private initiative with broad support from the Rotterdam business community. The statutory recognition of higher education in commerce and economics as an academic discipline resulted in 1939 in a change of name. The NHH became the NEH or Netherlands School of Economics. The growing complexity of society led in the 1960s to the arrival of the faculties of Law and Social Sciences, followed in later decades by Philosophy, History and Arts, and Business Administration.

From 1950, the Foundation for Higher Clinical Education used its best efforts to get a full academic medical study programme established in Rotterdam, and with success. For in 1966 the government established the Medical Faculty Rotterdam. Together with the Sophia Children's Hospital and the Daniel den Hoed Clinic, it forms the University Hospital Rotterdam, which as of 1 January 2003 bears the name Erasmus MC.

In 1973, the Medical Faculty Rotterdam and the Netherlands School of Economics merged to become Erasmus University Rotterdam – the first university in the Netherlands named for a person, a man to whom Rotterdam owes the reputation it has held for centuries in the academic world, Desiderius Erasmus.

Vision and mission

The EUR is a relatively specialised research university with a distinct social orientation in its education and research. Since its inception in 1913, this social orientation has been an essential feature of the EUR. The Erasmus University is the university of *ambitious thinkers and doers*.

The university concentrates its expertise on issues of management, organization and policy in the public and private sectors on the one hand, as well as on the field of sickness and health care. The EUR has bundled its education and research in four areas of expertise in which the university has a national and international reputation to maintain:
- Health
- Wealth
- Governance
- Culture

The university counts as its core tasks: to generate knowledge from research, to share knowledge in education and to transfer knowledge to the community. *Social commitment*, *responsibility* and *curiosity* are the core values of the university.

Organizational chart Erasmus University Rotterdam
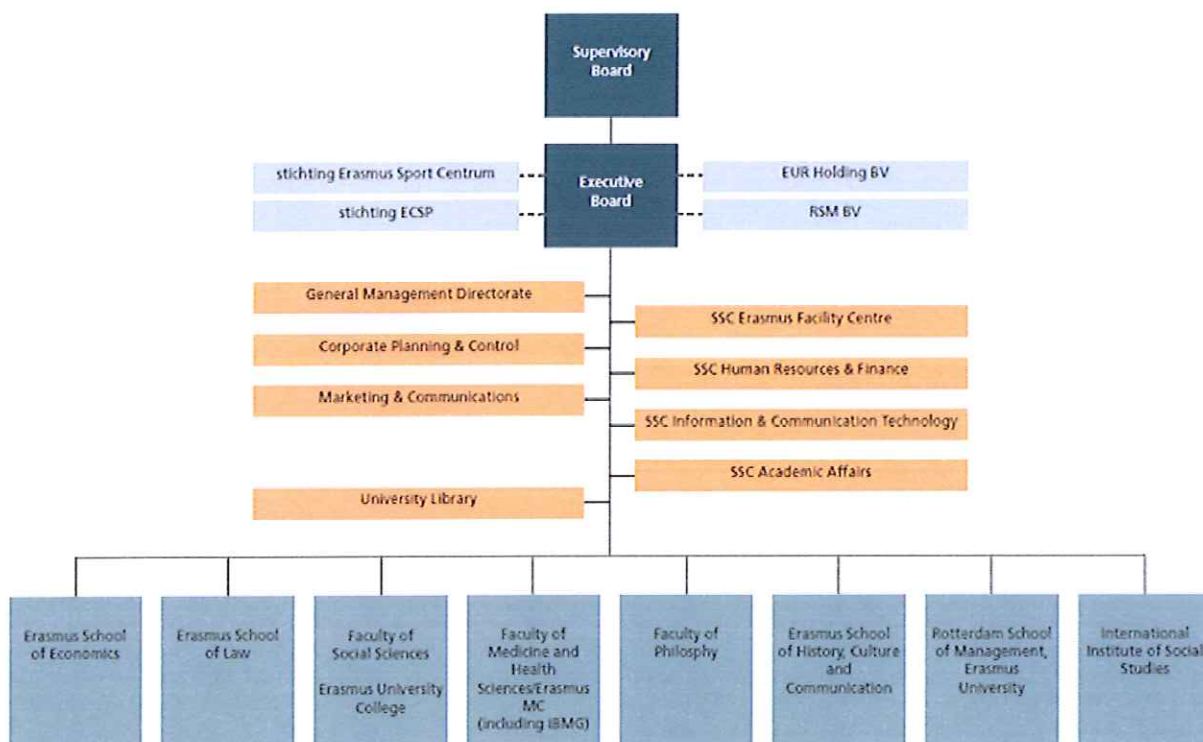
Faculties:

- Erasmus MC, University Medical Center
- Erasmus School of Economics
- Erasmus School of History, Culture and Communication
- Erasmus School of Law
- Faculty of Social Sciences
- Faculty of Philosophy
- Rotterdam School of Management, Erasmus University

Institutes:

- Institute of Health Policy & Management
- International Institute of Social Studies (ISS)

Key figures of the Erasmus University Rotterdam

22,367	students	
14,905	bachelor enrolments	** includes students doing two or more degrees
9,345	master enrolments	** includes students doing two or more degrees
6,928	diplomas	
341	doctorate conferrals	
2,817	employees (1,372 men and 1,445 women)	
472	professors (252 at Woudestein, 205 at Erasmus MC and 15 at ISS)	
€536 m	annual turnover 2013	

reference date 1 October 2013

Strategy 2014 – 2018: Impact & Relevance

We see the EUR connected with the world around it. Regionally, nationally and internationally. A university where there is optimal cooperation in the field of education and research and which can now compare itself with Europe's top higher education institutes. Internationally driven, ambitious, connecting and leading. A European top university which contributes to the quality of society.

Internationalisation is becoming widespread: In 2018, EUR Students and staff are truly connected to the world. Education and research are all about open and sustainable partnerships in international, intercultural teams and in networks. Bilingual skills are the norm. The performance and results of our academic staff and students enjoy international recognition. The number of foreign students has increased: they feel at home in our internationally oriented academic community.

Human Resources

A top-notch university deserves excellent support! This motto applies to all SSCs [1] within the EUR. It is from this vision that the SSCs work together on innovative, professional and high-quality service provision for the EUR, so that the academic staff can fulfil their primary duties of teaching and research at the highest level.

> *SSC HR & Finance mission: to connect people to EUR aspirations, a top-notch university with excellent people*
>
> *To this end HR works for and with the client,* where *connection* is the core of the mission. Connection with the client: together with partners HR uses results orientation and professionalism to develop the products and services which provide the best possible support to the EUR's core business – developing and providing 'state of the art' teaching and research. Here *people* are the most important factor – the basis of our academic and supportive performance. Together with the organisation we want to ensure that both now and in the future, the EUR will have access to the right employees, in sufficient numbers, to fulfil the aspirations. The issue is thus the *connection* between people and intrinsic objectives. In this respect HR works towards *a top-notch university with excellent people!*
>
> HR does this through proactive and results-oriented service provision, and through efficient working methods and sound expertise. With strategic (policy) frameworks and projects, with tailor-made advice and facilitation with administration, HR ensures that the fundamental basis, the employee, is solid.

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[1] Shared Service Centre: almost all supporting departments are organised in SSCs.

The EUR strategy entails a large number of HR challenges. In the years ahead the focus will turn to the following topics:

- increased internationalisation;
- diversity;
- multidisciplinary collaboration;
- valorisation;
- recruitment of top-class talent (internationally);
- talent management;
- mobility, including international exchanges.

Charter & Code and the EUR strategy

Through setting up programmes, in which projects are defined, practical fulfilment is given to the EUR's strategic aspiration.

The principles from the Charter & Code and the action points for the EUR which arise from it, are linked to programmes still to be defined to secure the connection with the strategy and to guarantee realisation of the Action Plan. Coordination and monitoring of the Action Plan occurs from the HR & Finance SSC.

The contact for the HRS4R project in the EUR is Brenda Docter, HR Policy Advisor, email: docter@hrf.eur.nl

2   The approach to HRS4R within the EUR

The EUR's Executive Board decided to embrace the principles of the Charter & Code in June 2013, and to carry out the associated analyses, with the ultimate objective of obtaining the HRS4R Logo.

Over the past year a diversely-composed project group, coordinated by the HR & Finance SSC[2], conducted the Internal Gap Analysis – consisting of a paper analysis and a practical investigation – resulting in the improvement plan (Action Plan).
The practical investigation comprised a trio of components/methods:
1. An expert meeting (research policy assistants and HR advisors)
2. A survey (academic staff)
3. The outcomes of an institutional accreditation

The paper analysis and the three components of the practical analysis are explained further below. The outcomes of the analyses are shown in Appendix 1.

Paper analysis

The paper analysis was an inventory of laws and regulations concerning the principles of the charter and the code of conduct.
To a large extent the same laws and regulations apply to Dutch universities. For example there is one collective employment agreement (CAO) for all Dutch universities, and in connection with the Association of Universities in the Netherlands (VSNU), there are agreements on interuniversity rules. For this reason a combined/national inventory[3] was decided on, supplemented at an institutional level with 'EUR rules', see Appendix 2 (national analysis) and 3 (EUR analysis).

Expert meeting

Based on a format in which all principles were incorporated, the research policy assistant and HR advisor from each faculty or institute were asked to produce a ranking of the principles needing improvement within their own organisational sections. These were shared and discussed during an expert meeting. The principles indicated as pressure points within multiple organisational sections are shown in Appendix 1 (section 2).

Survey

A survey among academic staff was conducted at the beginning of 2014, where questions were asked per principle on the relevance of the principle for the researcher's work, development and mobility. The researcher was also asked to deliver an evaluation of the way in which the EUR fulfils the principles; these could be used to be able to prioritise later in the process.

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[2] In the project group were represented: Directorate for General Management policy assistant, faculty research policy assistant, Teaching, research and student affairs policy assistant, and two HR policy assistants.
[3] The national inventory took the form of a 36-page report, which can be supplied on request. Stating the main pressure points from the inventory will suffice for this memorandum.

A total of 612 people were approached, of whom 163 (= 27%) took part. Of these 163 researchers, 132 (= 81% of the total group of respondents) completed the survey fully, while 31 did not fully complete it (= 19%). Given the response, doubts may be expressed on the validity of the survey outcomes. However, the outcomes of the survey (see Appendix 1, Section 3) matched the outcomes of the paper analysis and the expert meeting to such an extent that they could be assessed as being reliable. The three methods exhibit the same picture.

Institutional accreditation

Alongside input from the sources of information mentioned above, two points from the institutional accreditation (spring 2012) were also included as relevant input for this project (section 4 of Appendix 1).

3 Pressure points and Action Plan

3.1 Pressure points

The outcomes of methods or sources used led to the identification of a number of pressure points. To avoid creating an exhaustive list of pressure points, we introduced prioritisation and clustering based on:

- the frequency and relevance with which the pressure point showed up in the different methods used;
- points of intersection the observed pressure point has with developments named in the new 2014-2018 strategy;
- connection with already-implemented (policy) changes.

The prioritising and clustering of observed pressure points led to the attention areas: Career policy, Teaching, Professional development, Mobility and Diversity.

Career policy

Career advice is organised on a low-profile basis: demand-oriented rather than the desirable supply-oriented approach. Particularly for young researchers/graduates, this should be offered by default, and ideally at least a year before the end of the graduation phase. The same applies to career development. Alongside the (traditional) vertical career path, alternative career steps (broadening) should be offered more.

Through talent management, talented young researchers at the EUR should be offered the possibility[4] on a structural basis to continue their careers at the EUR.

Teaching

Teaching is undervalued. In appraisals/remunerations and promotions, the focus should not be placed exclusively on publication standards and the acquisition of funding/grants, but also on (the quality of) the teaching.

Professional development

For professional development, more emphasis should be placed on:
- The development (and application of) management skills for managerial academics;
- Training/coaching of supervisors, intended to prepare them to provide high-quality supervision to the doctoral student, in line with the established training and supervision plan; with the objective of completing the graduation in time;
- A transparent/unequivocal application of the Tenure Track system.

Mobility

(International) mobility should be encouraged (and valued) more, because it constitutes an important augmentation to the intrinsic development of the discipline. The educational duties should not form a

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[4] This would be instead of making it dependent on external financial resources, such as a grant.

limiting factor in this. The current EUR mobility policy should be tested critically for its suitability in practice.

Diversity

The ratio of men to women needs to achieve more balance in the higher academic positions. Diversity should acquire a broader approach than only measures aimed at increasing the number of women in these positions.

3.2   Action plan

As stated earlier, what we wish to achieve is that the improvement points become embedded or have connections with developments already put in motion, or with future projects, so that cohesion is maintained. We also want to ensure that the focus is put on the points which we wish to focus on as an organisation, including through connection with the new strategy (2014-2018 – and the programmes and projects which arise from this).

Based on the pressure point analysis we have formulated the following improvement points; these are shown per attention area (where the comments are added that some improvement points affect multiple attention areas, and that improvement points have not been formulated for all pressure points).

Career policy

1. Attention to the development of young researchers (in collaboration with Graduate Schools = GS) through:
    - Offering facilities in support of the employment market orientation: charting what facilities are offered in terms of career services, and the extent to which there can be a linkage with the facilities (to be developed) in this respect for students;
    - Offering facilities for the development of 'transferable skills' (to supplement the research skills, so that they are better-equipped for a career 'outside' science.
2. Reconsideration of the allocation of the stimulation resources for excellent research groups, with the intention of being able to deploy these for young talented researchers;
3. Research into updating the career policy for academic staff, including the Tenure Track system and the teaching career, and implementing the improvement possibilities arising from this.

Teaching

4. Research into the effectiveness of the University Teaching Qualification (BKO) and the degree to which this is appropriate to the new teaching systems;
5. In the evaluation of the performance & development interview and the improvement points arising from it, ensuring a better balance in assessing the following facets: teaching, research, management and valorisation.

Professional development

6. In collaboration with the Graduate Schools, investigating the possibilities for further roll-outs of good practices (e.g. ESL) in terms of supervision/monitoring graduates; where alongside the supervisor, a mentor is also assigned to the graduate;

7. In assigning the academic leadership course, devote explicit attention to securing quality in the practical application of that which has been learned.

Mobility

8. Encouraging and facilitating (international) staff mobility by:
    *   Supporting the subsidy application;
    *   Facilitating in the practical execution of rules concerning visas, employment conditions and social security etc.;
    *   Exploring best practices in terms of staff mobility at other universities;
    *   Investigating the possibilities for setting up and using an international network of (ex) employees of the EUR (similar to the Alumni network of students) to encourage international staff mobility;
    *   In the evaluation of the performance & development interview and the improvement points arising from it, ensuring that (international) mobility is accorded greater value.

Diversity

9. Integrate awareness of male/female diversity in the 'Academic Leadership' methodology;

10. Linking diversity policy to Talent Management.

3.3 Planning

The table below shows how the improvement points mentioned above link to the attention areas. This table also shows whether an improvement point can be linked to ongoing (or future) projects, who the owner is of the improvement point, and the planning.

	Teaching	Career policy	Mobility	Professional development	Diversity	link projects	Who?	Planning
1a Career services yo		x				Career services students	EPB + HR+GS + OOS	Q1 + Q2 2015
1b algemene vaardigheden yo		x	x	x		TOP/LDE-aanbod	TOP+GS	Q4 2014 + Q1 2015
						progr. Mobiliteit	HR	Q2 + Q3 2015
2 stimulation resources		x					AZ	Q1 + Q2 2015
3 career policiy AS		x				Programme ITM	HR + EPB	Q3 + Q4 2015
4 BKO	x						AZ (teaching)/HR	Q1 + Q2 2015
5 R&O	x			x		evaluation R&O	HR	Q2 + Q3 2014
6 best practice supervison				x			AZ + HR + GS	Q1 + Q2 2016
7 course academic leadership				x		tender	HR/TOP	2015
8a subsidy application			x			Research Support Office	OOS	2015
8b praktical assistance			x				HR + OOS	Q2 2015 + Q3 2015
8c best practices staff mobility			x			prog. Mobility	HR	Q3 2015 + Q4 2015
8d internatonal network			x			prog. Mobility	HR	Q4 2015 + Q1 2016
8e R&O (international) mobility			x			prog. Mobility	HR	Q2 + Q3 2014
9 diversity course ac. Leadership				x	x	diversity	HR/TOP	2015
10 diversity and talentmanagement				x	x	talentmanagement	EPB/HR	Q2 + Q3 2015

Explanation of abbreviations used:

AS= academic staff
EPB = Erasmus Programma Bureau
HR = SSC HR & Finance
GS = Graduate Schools
OOS = SSC Onderwijs & Onderzoek

TOP = training and developmentplatform of the EUR
AZ - department academic affairs
BKO = Basiskwalificatie Onderwijs = the University Teaching Qualification
R&O = Resultaat & Ontwikkelingscyclus = performance & development interview
ITM = integral talent management

Appendix 1 – Outcomes of EUR analysis

1   Paper analysis[5]

In essence what becomes apparent from the paper analysis is that rules are available for each principle. However for a number of points the rules need to be tightened further, or rules covering one principle are counter-productive for another.

Two principles have also been identified which are included only slightly or not at all in the rules, or for which a provision/facility is lacking or is only marginally fulfilled.

1.1   Pressure points arising from the national paper analysis

Recognition of the profession: the group of researchers consists of both paid and unpaid staff. This latter group is not (automatically) considered for facilities arising from the CAO and other more institutional rules for staff;

Recruitment: A priority rule for internal candidates may be in conflict with the basic principle of open and transparent recruitment of researchers.

Teaching burden: for young researchers (graduates) the teaching burden is so strenuous that they have insufficient time to work on their research.

1.2   Pressure points arising from the institutional paper analysis

Value of mobility: in accordance with the EUR's Career and Mobility policies. Present on paper, but minimal in execution;

Access to career advice: Arranged minimally: in principle access to career advice is possible through the HR advisor. However this is communicated minimally or not at all to employees, so that this service is often delivered mainly on request, in contrast to the desired supply-oriented approach.

2   Pressure points arising from the Expert meeting

The principles indicated as pressure points within multiple organisational sections are shown below.

Access to career advice: Career advice does not reside specifically with a specialist. Employees may approach the HR advisor. This point is mainly addressed on a demand-oriented basis. This contrasts with the desirable supply-oriented approach.

Further professional development: Who may be considered for a Tenure Track position is not always transparent. Nor is the form of the subsequent phase.

Contractual legal obligations: In particular where contracts with third parties (e.g. sponsors/funders) are concerned, the academic staff   does not always comply with the obligations arising from the contract. There is a considerable desirability for support in this area.

Professional development: In the university world only one route can be taken in order to advance. And this you achieve mainly through research and publishing a lot.

Post-doctoral appointments: There are no resources for appointing post-docs, so that graduates are never able to stay – only when they are able to arrange funding themselves (through a grant, for example).

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[5] More extensive information about the paper analysis is shown in Appendix 2.

3 Survey

In broad terms the outcomes of the survey can be divided as:

- Pressure point: e.g. if the principle has been indicated by the researchers as being extremely important, and the situation at the EUR is assessed as satisfactory, threatening to become unsatisfactory. In short: there where the discrepancy is considerable between the importance of the aspect and the evaluation of the EUR situation.
- Attention points: e.g. principles where the EUR situation was evaluated as unsatisfactory by a relatively high percentage of respondents, but where the majority of the respondents adjudged the principle to be good.
- Other: For the rest of the principles the situation at the EUR was evaluated as good or very good or there is little or no discrepancy between the significance attached to the aspect in relation to the evaluation of the EUR situation.

Because the researchers evaluated the principles based on their definitions, below are the definitions of the principles which arose from the survey as a pressure point. They are furnished with comments the researchers made concerning the relevant principle.

3.1 Pressure points arising from the Survey

Career development: Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.
Comment: No proactive policy in this regard at the EUR. There are certainly possibilities, but only when requested. The training which is available is specifically aimed at the academic career path.

Value of mobility: Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.
Comment: Mobility is regarded as a danger to the continuity of a department/research group. Often mobility is not possible because of the high teaching burden. (International) mobility should be regarded as an important aspect of the academic career.

Access to career advice: Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.
Comment: This facility should be available to young researchers and to employees who have to look for new employment as a result of a reorganisation.

Access to research training and continuous development: Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures

should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.
Comment: Good experience has been noted with the management course via Eva Wiltingh. Everyone should be offered it mandatorily. In general management skills are not developed sufficiently among academic staff.

Stability and permanence of employment: Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.
Comment: Some facilities for employees are not available to those employees with a temporary employment contract. Employees are not always notified in good time whether their appointment will be extended.

Teaching: Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.
Comment: Teaching should be accorded more significance in promotion decisions rather than focusing solely on publication lists and the acquisition of a grant.

3.2 Attention points arising from the Survey

Supervision: Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.
Comment: The supervisor of a doctoral student often has many other duties so that supervision is not accorded priority. Supervisors/mentors should also be trained.
The process/possibility for becoming a supervisor should also be more transparent.

Gender balance: Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.
Comment: We should also have more female senior university lecturers and professors, certainly when comparing internationally. There is a strong bias concerning women in senior lecturer and professor positions.

Complaints/appeals: Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes

and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

<u>Comment:</u> There is no procedure or representation with which one might submit a complaint.

Judging merit: The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

Evaluation/appraisal systems: Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

<u>Comment:</u> Importance is attached to working or carrying out research on an interdisciplinary basis, but this is not carried through as such in the evaluation mechanisms.

4   *Pressure points arising from the institutional accreditation*

Internationalisation of staff: increasing the share of international staff, where specific attention is paid to:
  a. Intercultural communication skills for teachers (in the context of the international classroom);
  b. Facilitating recruitment and settling-in of international staff.

Staff mobility: developing policy aimed at increasing international exchange of lecturers in particular. The emphasis within the EUR is on attracting international staff to the Netherlands, and less on acquiring international experience through an exchange, for instance.

Appendix 2 National Paper analysis

To a large extent the same laws and regulations apply to Dutch universities. There are statutory differences between private and public universities but these are subordinate. There is one CAO for all Dutch universities, and through the VSNU agreements are made on interuniversity rules.

A joint inventory of laws and regulations has occurred. This inventory was not a 'national gap analysis' but an analysis of the context of the Dutch universities in terms of relevant legislation and regulations.

Relevant legislation and regulation

For the inventorisation of legislation and regulations applying to all Dutch universities within the framework of the European charter for researchers and the European code of conduct for recruiting researchers, the following sources are of importance.

Legislation:
Legal regulations encompass laws, Orders-in-Council and other Royal Decrees and Ministerial Regulations: http://wetten.overheid.nl/zoeken/

The Constitution
Data Protection Act
Medical Research (Human Subjects) Act
Experiments on Animals Act
Equal Treatment Act
Equal Treatment (Men and Women) Act
Equal Treatment (Working Hours) Act
Equal Treatment of Disabled and Chronically Ill People Act
Equal Treatment in Employment (Age Discrimination) Act
Working Conditions Act
Flexibility and Security Act
Implementation Act EU Directive 1999/70/EC
Copyright Act
Patents Act
Works Councils Act
Higher Education and Research Act
Unemployment Insurance Act
Work and Income according to Labour Capacity Act
General Old-age Insurance Act
Exceptional Medical Expenses Act

Also concerned are European directives such as EU Directive 2004/48/EG of the European Parliament and the advice concerning implementation of intellectual property rights http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:195:0016:0025:nl:PDF

Collective Employment Agreement:
The VSNU acts as an employers' organisation and negotiates with the employee organisations on the employment terms and conditions of the universities' staff. The agreed employment terms and conditions are contained in the CAO: http://www.vsnu.nl/CAO/CAO-universiteiten.htm

University job classification:
A new university job classification system (UFO) came into effect for Dutch universities on 1 April 2003. Based on the UFO, each employee of a Dutch university is assigned a job profile (a compact description of a job) with an associated job level: http://www.vsnu.nl/CAO/Functieordeningsysteem-UFO.htm

Dutch universities' competence instrument:
Generic competence profiles are linked to the UFO job profiles. Competences for a job cover the required elements in terms of knowledge, expertise and behaviour to be able to fulfil the job well.
http://www.sofokles.nl/downloads/universiteiten/mobiliteit_loopbaanbeleid/1.%20Competentie%20Instrument%20NU_NL.pdf

Netherlands Code of Conduct for Scientific Practice:
The Netherlands Code of Conduct for Scientific Practice came into effect for Dutch universities from 1 January 2005. The code is intended for individual scientific practitioners in Dutch universities, and describes desired behaviour.
http://www.vsnu.nl/Media-item/Nederlandse-Gedragscode-Wetenschapsbeoefening.htm

NVP Recruitment Code:
The NVP Recruitment Code contains basic rules which employment organisations and applicants must take into consideration in the recruitment and selection to fill vacancies. The objective of the code is to offer a standard for a transparent and honest recruitment and selection procedure.
http://www.nvp-plaza.nl/documents/doc/sollicitatiecode/sollicitatiecode-oktober-2009.pdf

Code of Conduct for the use of personal details in scientific research:
This Code of Conduct (based on the Data Protection Act) focuses on the processing of details about natural persons for research conducted by employees associated with Dutch universities.
http://www.vsnu.nl/Media-item/Gedragscode-voor-gebruik-van-persoonsgegevens-in-wetenschappelijk-onderzoek.htm

Science and Society Action Plan:
The European Commission has drawn up a Science and Society Action Plan to improve the link between citizens, acadamics and policy-makers. Among other things the plan contains measures to involve citizens more with scientific research.
http://ec.europa.eu/research/science-society/pdf/action_plan_leaflet_nl.pdf

Standard Evaluation Protocol (SEP):
For the evaluation of scientific research the KNAW, NWO and VSNU have drawn up the Standard Evaluation Protocol 2009-2015 (SEP). The protocol is suitable for a broad evaluation of research, including training as a researcher.
http://www.knaw.nl/content/Internet_KNAW/publicaties/pdf/20091052.pdf

Health and Safety Catalogue for Dutch Universities:
In the health and safety catalogue universities describe how they can fulfil the government's target provisions for working safely and healthily. A target provision is a standard in the act with which companies must comply. Three sectional catalogues for labour inspection have been approved so far.
http://www.vsnu.nl/Subsites/Arbocatalogus.htm

Talent to the Top charter:
The charter is a national initiative to promote the participation of women at the top of organisations. Signing the charter is a public commitment for achieving male/female diversity at the top. Virtually all universities have signed the charter. http://www.talentnaardetop.nl/Home_NL/Charter

26 August 2014

Appendix 3: EUR's paper Analysis: national analysis, supplemented with institutional rules

	Principle	Legislation	National rules	EUR rules	Source
1	Freedom of research	Art 7 GW: freedom of expression	NGW. principle 5, independence	- EUR Integrity Code: *core values, professionalism. team play and fair play* - EUR guideline for scientific misconduct (based on VSNU's national model of scientific integrity complaints handling): advice can be asked from the LOWI.	1) http://www.vsnu.nl/Media-item/Nederlandse-Gedragscode-Wetenschapsbeoefening.htm 2) http://www.eur.nl/eur/corporate_publicat ies/integriteitscode/ 3) http://www.eur.nl/fileadmin/ASSETS/ie b/richtlijn_wetenschappelijk_wangedrag .pdf 4) http://www.knaw.nl/Pages/DEF/28/514. bGFuZz1OTA.html
2	Ethical principles		NGW. principle 2, trustworthiness		
3	Professional responsibility		NGW. principle 4. impartiality. principle 3: verifiability		
4	Professional attitude		NGW. principle 1, meticulousness		
5	Contractual and legal obligations *(training and employment conditions and intellectual property law, funding)*	- Higher Education Act - Copyright - Patents Act '95 - EU Directive 2004/48 for enforcing intellectual copyright law	- CAO-NU (employment conditions/study). general and Art. 6.9 - CAO-NU: H1 art.: 1.15: personal gain 1.16: confidentiality 1.19: third-party agreement obligation 1.20: Patent and copyright 1.21: Patent notification obligation 1.22: transfer and retention of patent rights 1.23: Remuneration	- Employment Conditions Selection Model - Academic staff career policy - Study facilities regulations - Training of scientific staff and graduates - Rules for contracts with third-parties (copyright/patents etc.) - Financial framework/funding accountability obligations??	1) http://www.vsnu.nl/CAO/CAO-universiteiten.htm 2) http://www.eur.nl/medewerkers/arbeidsv oorwaarden/keuzemodel_arbeidsvoorwa arden/ 3) http://www.eur.nl/medewerkers/hr_belei d/loopbaan_ontwikkeling/loopbaanbelei d_wetenschappelijk_personeel 4) http://www.eur.nl/medewerkers/hr_belei d/opleidingen/meer_informatie_opleidin gen/regeling_studiefaciliteiten/ 5) http://www.eur.nl/medewerkers/hr_belei d/opleidingen/opleidingen_wetenschapp elijk_personeel_en_promovendi/
6	Accountability obligations		NGW. principle 3. verifiability	Ditto principles 1-4 - Accreditation programmes? - Sound and efficient financial management? - Audits of research (employers/funders)	Ditto principles 1-4
7	Good practices in research (safe working environment, digital security)	- Health and Safety Act - Data Protection Act - Medical Research (Human Subjects) Act - Experiments on Animals Act	- Health and Safety Catalogue for Dutch Universities (VSNU) - Code of Conduct for the use of personal details in scientific research 19	- ICT Integrity Code - Back-up policy/strategy	1) http://www.eur.nl/medewerkers/gezondh eid/arbo_en_milieu/ 2) http://www.eur.nl/fileadmin/ASSETS/m edewerkers/Integriteitscode_ICT.pdf 3) http://www.vsnu.nl/Media-item/Gedragscode-voor-gebruik-van-persoonsgegevens-in-wetenschappelijk-onderzoek.htm
8	Distribution/utilisation of results		NGW? UFO job profiles	- Academic staff career policy - Open Access/EUR Repository	1) http://www.vsnu.nl/CAO/Functieordenin gsysteem-UFO.htm

#	Topic	Legislation / Acts	Policy / Documents	Notes	Links
			UD/UHD/HL: objective description, allocation criteria, results areas: - Propagating scientific knowledge and insights (UD/UHD/HL) - Research publication: making research results public (researchers and graduates)	RePub (Research Matters)	2) http://www.eur.nl/medewerkers/hr_beleid/loopbaan_ontwikkeling/loopbaanbeleid_wetenschappelijk_personeel 3) http://www.eur.nl/researchmatters/open_access/about_open_access/ 4) http://www.eur.nl/fileadmin/ASSETS/ub_instructie/Research_Matters/oa_eng.pdf
9	Public involvement:	Science and Society Action Plan European Ltd.		- Research Matters - Measuring Impact - RePub - Erasmus 2013: H5. knowledge transfer, H8 Economic and social valorisation - Communication strategy/SMC?	1. http://ec.europa.eu/research/science-society/action-plan/07_action-plan_nl.html 2. http://www.eur.nl/onderzoek/research_matters/ 3. http://www.eur.nl/researchmatters/getting_published_and_measuring_impact/measuring_impact_eur_policy/ 4. http://www.eur.nl/onderzoek/eur_publicaties_repub/ 5. http://www.eur.nl/eur/missie_strategie/
10	Non-discrimination	- The Constitution - Equal Treatment Act - Equal Treatment (Men and Women) Act - Equal Treatment (Working Hours) Act - Equal Treatment of Disabled and Chronically Ill People Act - Equal Treatment in Employment (Age Discrimination) Act	- Code of the Dutch Association for Personnel Management and Organisation Development	- EUR policy against undesirable behaviour (rules), incl. discrimination - Diversity policy - EUR Job Application Code??	1. http://wetten.overheid.nl/BWBR0001840/geldigheidsdatum_22-11-2012 2. http://wetten.overheid.nl/BWBR0006502/geldigheidsdatum_22-11-2012 3. http://wetten.overheid.nl/BWBR0003299/geldigheidsdatum_22-11-2012 4. http://wetten.overheid.nl/BWBR0008161/geldigheidsdatum_22-11-2012 5. http://wetten.overheid.nl/BWBR0014915/geldigheidsdatum_22-11-2012 6. http://wetten.overheid.nl/BWBR0016185/geldigheidsdatum_22-11-2012 7. http://www.eur.nl/medewerkers/hr_beleid/gedragsregels/beleid_tegen_ongewenst_gedrag/ 8. http://www.eur.nl/medewerkers/hr_beleid/diversiteit/beleid/
11	Evaluation/assessment systems	- CAO-NU: Art. 6.7 - Standard Evaluation Protocol (SEP)		- Evaluation SEP?? - Protocol quality control research (ER&S, no link on site) - Result and Development cycle - Tenure Track	1) http://www.vsnu.nl/CAO/CAO-universiteiten.htm 2) http://www.knaw.nl/content/Internet_KNAW/publicaties/pdf/20091052.pdf 3) http://www.eur.nl/medewerkers/hr_beleid

#	Topic	Rules/Codes	Items	Links
			- Teaching evaluation (rules/system?) - Academic staff career policy	d/loopbaan_ontwikkeling/resultaat_en_ontwikkelingsgesprekken/ 4) http://www.eur.nl/medewerkers/hr_beleid/loopbaan_ontwikkeling/tenure_track/
12	Recruiting	- CAO-NU: Art. 6.1 - NVP Job Application Code	- EUR Recruitment and Selection policy (process?) - Graduates rules - EUR fellowships	1) http://www.nvp-plaza.nl/site/nl/kennis.phtml?p=sollicitatiecode 2) http://www.eur.nl/medewerkers/hr_beleid/werving_selectie_aanstelling/ 3) http://www.eur.nl/medewerkers/hr_beleid/werving_selectie_aanstelling/meer_informatie_bijzondere_personeelscategorien/promovendi/
13	Recruiting (code) *Open, efficient, transparent and internationally-comparable procedures/advertisements*	- CAO-NU: Art. 6.4 - NVP Job Application Code - Academic Transfer	- EUR Recruitment and Selection policy (process?) - EUR Job Vacancies site	1) http://www.eur.nl/medewerkers/hr_beleid/werving_selectie_aanstelling/ 2) http://www.eur.nl/vacatures/ 3) http://www.academictransfer.com/employer/EUR/
14	Selection (code)	- NVP Job Application Code	- EUR Recruitment and Selection policy (process?) - Academic staff career policy	1) http://www.eur.nl/medewerkers/hr_beleid/werving_selectie_aanstelling/ 2) http://www.eur.nl/medewerkers/hr_beleid/loopbaan_ontwikkeling/loopbaanbeleid_wetenschappelijk_personeel
15	Transparency (code)	- NVP Job Application Code	- EUR Recruitment and Selection policy (process?) - Academic staff career policy	1) http://www.nvp-plaza.nl/site/nl/kennis.phtml?p=sollicitatiecode 2) http://www.eur.nl/medewerkers/hr_beleid/werving_selectie_aanstelling/ 3) http://www.eur.nl/medewerkers/hr_beleid/loopbaan_ontwikkeling/loopbaanbeleid_wetenschappelijk_personeel
16	Assessing earnings (code)	- NVP Job Application Code - Dutch universities' competence instrument	- EUR Recruitment and Selection policy (process?) - Academic staff career policy - Competence policy/R&D cycle - Tenure Track: personal files? - Teaching evaluation system	1) http://www.eur.nl/medewerkers/hr_beleid/loopbaan_ontwikkeling/resultaat_en_ontwikkelingsgesprekken/competenties/ 2) http://www.eur.nl/medewerkers/hr_beleid/werving_selectie_aanstelling/ 3) http://www.eur.nl/medewerkers/hr_beleid/loopbaan_ontwikkeling/loopbaanbeleid_wetenschappelijk_personeel

				4) http://www.sofokles.nl/downloads/universiteiten/mobiliteit_loopbaambeleid/1%20Competentie%20Instrument%20NU_N_L.pdf
17	Variations in CV chronology (code)			Ditto principle 16	Ditto principle 16
18	Recognition of mobility experience (code)			Ditto principle 16	Ditto principle 16
19	Recognition of qualifications (code)			Ditto principle 16	Ditto principle 16
20	Seniority/length of service (code)		1. UFO allocation criteria 2. Art 6.5a Tenure Track	1. Academic staff career policy. 2. Tenure Track	http://www.eur.nl/english/staff/hr_policy/career_development/academic_staff_career_development_policy/ http://www.eur.nl/english/staff/hr_policy/career_development/tenure_track/
21	Post-doctoral appointments (code)		UFO allocation criteria	EUR fellowships	http://www.eur.nl/english/research/eur_fellow/
22	Recognition of the profession		Hay profiles/UFO	Difference scholarship student vs. graduate	
23	Research environment	Health and Safety Act	Health and Safety Catalogue for Dutch Universities (VSNU)	Rules for computer and network facilities	1. http://www.eur.nl/english/staff/facilities/ 2. Research networks 3. http://www.eur.nl/english/erna/information/use_policy/
24	Employment Conditions	Working Hours Act Health and Safety Act Work and Care Act Working Hours (Adjustment) Act	CAO-NU: H3 to 7 inclusive ABP, pension rules	1. EUR employment conditions rules 2. EUR health and safety rules	1. http://www.eur.nl/english/staff/employment_conditions/ 2. http://www.eur.nl/english/staff/health/
25	Stability and permanence of position	Flexibility and Security Act Implementation Act EU Directive 1999/70/EC	CAO. Article 2.3		Internal candidates
26	Funding and salaries	Social Security legislation (WW. AOW. AWBZ. WIA etc.)	CAO. Articles 3.5. 3.8 and 3.10 ZANU BWNU		Difference scholarship student vs. graduate
27	Gender equality		Charter Talent to the Top	Diversity policy Network female professor	1. http://www.eur.nl/english/staff/hr_policy/diversity/policy/ 2. http://www.eur.nl/english/staff/hr_policy/diversity/envh/
28	Professional development		CAO. Article 6.5.2	Academic staff career policy Tenure Track	http://www.eur.nl/english/staff/hr_policy/career_development/academic_staff_career_development_policy/

#	Topic	Legislation	CAO	Description	International mobility
29	Value of mobility				International mobility
30	Access to career advice		CAO. Article 6.5.1 CAO. Articles 6.5.3 and 6.5.4	Career advice, where organised	
31	Intellectual property rights	Copyright, Patents Act	CAO. Articles 1.20 to 1.23 inclusive	Contracts with third parties	http://www.eur.nl/finance/finance_oud/projecten_subsidies/algemeen/introductie_regeling_contracte/regeling/
32	Co-authorship	Copyright Act			
33	Conducting lessons		CAO. Article 6.5a Basic Teaching Qualification	Academic staff career policy	1. http://www.eur.nl/english/staff/hr_policy/career_development/academic_staff_career_development_policy/ 2. http://www.eur.nl/english/staff/hr_policy/training/basic_teaching_qualification_bko/
34	Complaints/appeals procedures		CAO. Article 1.12 LOWI (= national body for scientific integrity)	Rules for undesirable intimacies Confidante BBR EUR	1. http://www.eur.nl/english/staff/hr_policy/recruitment_selection_appointment/special_staff_categories/phd_candidates/other_objections_andor_disputes/ 2. http://www.eur.nl/english/staff/hr_policy/rules_of_conduct/policy_on_undesirable_behaviour/ 3. http://www.eur.nl/fileadmin/ASSETS/abd/JZ/BBR-EUR_CvB_DEFINITIEF_2-4-2012.pdf
35	Participation in decision-making bodies	WOR. WHW		Employee participation	http://www.eur.nl/medewerkers/medezeggens chap/
36	Relationship with supervisors		CAO. Article 6.8	Graduates education and supervision plan Training tutor as coach	1. http://www.eur.nl/english/staff/hr_policy/recruitment_selection_appointment/special_staff_categories/phd_candidates/education_and_supervision_plan/ 2. http://www.eur.nl/medewerkers/hr_beleid/opleidingen/opleidingen_wetenschappelijk_personeel_en_promovendi/
37	Supervision and management obligations		CAO. Article 6.8	Training Academic Leadership Training tutor as coach	1. http://www.eur.nl/english/staff/hr_policy/training/management_qualification_course/ 2. http://www.eur.nl/medewerkers/hr_beleid/opleidingen/opleidingen_wetenschappelijk_personeel_en_promovendi/
38	Further professional development		CAO. Article 6.6	Training of scientific staff and graduates Performance & development interviews	1. http://www.eur.nl/medewerkers/hr_beleid/opleidingen/opleidingen_wetenschappelijk_personeel_en_promovendi/ 2. http://www.eur.nl/english/staff/hr_policy

					/career_development/performance_devel opment_interviews/
39	Access to research training and ongoing development	CAO, Article 6.8 CAO, Article 6.9.4/6.9.5 Basic Teaching Qualification	Career orientation Training of scientific staff and graduates Academic staff career policy	1 2 3	http://www.eur.nl/medewerkers/hr_belei d/opleidingen/opleidingen_wetenschapp elijk_personeel_en_promovendi/ http://www.eur.nl/medewerkers/hr_belei d/opleidingen/loopbaanorientatie/ http://www.eur.nl/english/staff/hr_policy /career_development/academic_staff_car eer_development_policy/
40	Supervision	CAO, Article 6.8	Graduates education and supervision plan Training tutor as coach	1 2	http://www.eur.nl/english/staff/hr_policy /recruitment_selection_appointment/spe cial_staff_categories/phd_candidates/ed ucation_and_supervision_plan/ http://www.eur.nl/medewerkers/hr_belei d/opleidingen/opleidingen_wetenschapp elijk_personeel_en_promovendi/