

Action Plan

Human Resources Strategy for Researchers

Proposed actions for achieving the HR Excellence in Research logo based on the gap analysis, January 2013

1. Introduction: Utrecht University

Utrecht University is a large and versatile knowledge centre that offers education and research of international quality. Its aims are:¹

- to provide young people with an academic education;
- to train new generations of researchers;
- to train academics who combine knowledge and professional skills;
- to carry out groundbreaking research;
- to contribute towards solutions to public issues.

Commitment, inspiration, ambition and independence are the core values held by Utrecht University. The university forms its academic community by investing in its employees and students.

Utrecht University was founded in 1636 and has seven faculties: Humanities; Law, Economics and Governance; Geosciences; Social and Behavioural Sciences; Science; Veterinary Medicine; and Medicine as part of UMC Utrecht.

In 2012 Utrecht University had 30,449 students, 1,537 of whom were international students and 1,133 of whom were exchange students from 101 countries.

Utrecht University numbers among the world's top universities. The university is ranked as the top university in the Netherlands by the Shanghai Ranking, shares 12th place in Europe and is ranked joint 53rd worldwide. The Times Higher Education Ranking places the university in 67th place, the second highest position held by any Dutch university. In addition, the university holds 46th position in the global ranking of the Higher Education Evaluation & Accreditation Council of Taiwan (HEEFCE).

International cooperation

Cooperation with international universities is essential to the performance of high-quality research and the provision of excellent education. In view of this, Utrecht University cooperates with highly reputed universities all over the world. This cooperation involves:²

- cooperation in research and education programmes;
- the exchange of researchers, lecturers and students;
- fellowship programmes;
- special chairs for visiting professors.

Utrecht University has selected a small number of international universities with which to pursue university-wide international strategic cooperation: the Utrecht University Partners (UUPs). In Europe these are the members of the League of European Research Universities.

A sharper focus has been brought to the research conducted at Utrecht University by clustering top research in 16 focus areas; as a subsequent step, knowledge held in various disciplines has been clustered in the four strategic themes of Sustainability, Life Sciences, Institutions, and Youth & Identity. Generally speaking, the above-mentioned international research universities carry out high-quality research that fits into one of the focus areas of Utrecht University and they collaborate with various faculties of Utrecht University.

In addition, Utrecht University is an active member of various highly regarded international research and education networks:

- League of European Research Universities;
- Utrecht Network;
- Oxford Network.

¹ See: Strategic Plan 2012-2016

² <http://www.uu.nl/university/research/nl/internationalesamenwerking/Pages/default.aspx>

Utrecht University is co-administrator of six Dutch scientific institutes abroad and the lead institution of the Dutch University Institute for Art History in Florence (Italy).

2. Human Resources Strategy for Researchers

The "Human Resources Strategy for Researchers Incorporating the Charter & Code" fits well in the (HR) policy of Utrecht University. The HR Excellence in Research logo helps Utrecht University to distinguish itself as an attractive international employer. The logo will increase the institution's international visibility and Utrecht University will become more attractive to international researchers.

As part of the Human Resources Strategy for Researchers, a project has been started with the aim of implementing the principles in the Charter and Code. For the duration of the project a temporary organisation has been set up consisting of a steering group, a sounding board group and a project group. The project commenced in January 2012.

The members of the steering group are the President of the Executive Board of Utrecht University and the Dean of the Faculty of Law, Economics and Governance (who is also a professor and the chair of the Advisory Committee on the Quality of Personnel Policy). The role of the steering group is to oversee the process and, in broad terms, to assess the merit of the substantive developments. In addition, the steering group ensures that the outcomes and proposals are translated correctly into concrete objectives and into the strategic policy for the coming years. The sounding board group has an advisory role and comprises (representatives of the) scientific staff, an advisor from the Academic Affairs Office and the head of policy at Human Resources. The project group comprises the policy advisor for internationalisation at Human Resources and an HR advisor from Human Resources.

3. Gap Analysis

Four steps have been taken to develop this action plan. Throughout the course of the project various committees have been consulted about these steps, including the Advisory Committee on the Quality of Personnel Policy (ACKP), the assembly of the heads of the faculty HR departments and the assembly of the HR advisors involved in the internationalisation of the university.

a) Desk research

The "desk research" is the internal analysis relating to the points mentioned in the template. The project team analysed all 40 points and linked them to existing laws and regulations and local policy. Involved in this phase were staff of the Legal Affairs department, the heads of the faculty HR departments and policy advisors from the Academic Affairs Office.

b) Examining practice at Utrecht University

After conducting the desk research, the project group held interviews with stakeholders involved in practice in order to obtain additional information and to establish whether other points needed to be included in the response to the template.

This involved speaking with on average of two scientists per faculty, including some professors. Interviews were also held with the Academic Integrity Counsellor (professor at the Faculty of Law, Economics and Governance) and the President of the PrOUT Board. (PrOUT is the university's network for doctoral candidates.)

c) Points for improvement/lacunae

The inventory made of laws and regulations and practice at Utrecht University gave rise to a state of affairs that was compared to the situation as described in the template in order to make the discrepancies evident. This exercise prompted the points for improvement that have been included in this report.

d) Session to establish an action plan

This report and the way in which Utrecht University wishes to achieve the desired situation as described by the European Commission in the template have been charted in a session attended by key individuals. Those involved were a faculty head of HR, a policy advisor with the Academic Affairs Office, the head of policy and expertise with Human Resources, two faculty directors of operations, a faculty director and two professors.

4. Action Plan: Institutional HR Strategy for Researchers

It is evident from the gap analysis (see enclosure) that Utrecht University complies with the principles of the Charter & Code with respect to almost every point. A gap is evident with respect to just three points in the Charter & Code. The substantive discussion in the sounding board group and consultation with the steering group prompted the identification of these three points.

The following three sections are structured as follows: first, the substantive point in the Charter & Code is stated (in italics and highlighted). Subsequently – in the panel – activities undertaken by Utrecht University in respect of this point are presented. Lastly, the action that Utrecht University wishes to take is described. The aim, means and schedule and the responsible body are also stated.

1. Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

In the Standard Evaluation Protocol (SEP) for assessing research, research groups report on the numbers of 'publications for the general audience'. They are expected to produce such publications³ and it is evident from the self-studies conducted for the SEP assessments that this is a widespread practice.

In the Assessment & Development interviews, too, the "possible contribution to public debate" is a topic of discussion. The scientific staff are asked to provide input on this point in the reflective report that is produced prior to the Assessment & Development interview.

The faculty Communications departments, the Press Communications department of the Communications & Marketing Office and the Centre for Science Communication and Culture (CWC) actively identify research results that are suitable for generating publicity. It is considered important that the organisation should demonstrate the results of the investments made in research and should introduce a wider public to research results.

Researchers are approached regularly by journalists – in connection with a topical theme – and asked to give their view of a particular situation. At one of the faculties, the internal newsletter reports those individuals who have been active in the media in the recent period.

The focus areas that have been established help steer university-level communication.

The conversion of scientific knowledge into social and economic value – valorisation – is the third core task of universities. Utrecht University contributes to this aim in various ways: via post-initial education, via platforms for the exchange of knowledge between knowledge institutions and companies, via platforms in which the university meets schools, via public-private cooperation, by matching cooperation programmes in the Triple Helix (collaboration between trade and industry, knowledge institutes and government), via specialist patient care for people and animals, via advisory

³ <http://www.uu.nl/university/research/nl/hetutrechtseonderzoek/onderzoeksbeoordelingen/>

work and consultancy, via science communication (including that which is carried out by the University Museum and the Science Junction), through professional publications, through the making available of scientific knowledge via the library (Open Access) and through countless outreach activities by students and employees. Increasingly, alumni are acting as intermediaries between the university and society.

Important examples of regional cooperation are the founding of UtrechtInc for starting entrepreneurs, one of the Netherlands' most successful incubators, and the Utrecht Science Park, where dozens of companies and research institutes such as TNO, Deltares and the Hubrecht Institute have their offices alongside Utrecht University, the University of Applied Sciences Utrecht and UMC Utrecht. The Utrecht Science Park creates an ecosystem of large research institutions - public and private - in which open science is a matter of course.

In addition, the "Utrecht Valorisation Center" has opened. The centre clusters knowledge and expertise concerning the valorisation of the Utrecht knowledge institutions, in order to tailor education and research more closely to socially and commercially interesting applications.

The Centre for Science Communication and Culture (CWC) reflects the challenging environment that Utrecht University offers students alongside their studies, both culturally and intellectually, and in the areas of science education and, more generally, science communication.

The Centre for Science Communication and Culture is home to the following divisions: the University Museum; *Studium Generale*; Parnassos Cultural Centre; the university's cultural programmes; and the University Hall.

The various divisions of the CWC host a diverse range of activities such as cultural courses and other cultural provisions; Parnassos Cultural Centre is active in such areas as music, dance and theatre; lectures and debates at Studium Generale encourage critical thinking and intellectual exchange; and the University Museum is responsible for managing the academic heritage and for developing exhibitions and activities for which the target audience is children.

Utrecht University also cooperates with numerous cultural organisations and events in the city of Utrecht and many of the university's students and employees are involved in cultural activities.

The University Museum plays an important role in public engagement. The University Museum is a science museum that offers its visitors the opportunity to investigate science and the university in an inspiring way. The University Museum is keen to help develop a positive critical attitude towards science and to encourage and challenge its visitors to adopt an investigate attitude. The University Museum draws 52,000 visitors each year.

Since the advent in 2012 of the annual UU Publicity Prize, the university has been rewarding the scientist who has been most prominent in the media over the past 12 months and who has actively contributed to achieving this prominence. In this way, Utrecht University is keen to encourage scientists to generate publicity for their research and to participate in the debate of public issues. The UU Publicity Prize consists of a budget for making a video about the winning scientist's research that is to be used for publicity purposes.

The Communications & Marketing Office runs the course 'Dealing with the Press' for scientists.

Action

Within Utrecht University much is done to communicate research activities and results, at both faculty and university level. Based on the inventory of activities, the following additional actions have been established:

- Extend the range of courses in science communication:

- Aim: to teach scientists how to deal with the press; to raise the profile of Utrecht University; to increase employee commitment to the organisation; to show what Utrecht University is proud of
 - Means: publicise the existing course in 'Dealing with the Press' and expand the range of courses on offer
 - Schedule: November 2013
 - Responsibility: Communications & Marketing Office
- Extend the UU Publicity Prize:
 - Aim: to encourage science communication; to raise the profile of Utrecht University; to increase employee commitment to the organisation; to show what Utrecht University is proud of
 - Means: expand the range of prize-winning outreach activities from press performance alone to include, for example, activities in new media and lobbying activities
 - Schedule: October 2013, in preparation for the prize-giving in January 2014
 - Responsibility: Communications & Marketing Office
- Publicise those professionals who are actively engaged at faculty level in science communication.
 - Aim: to increase the traceability of the professionals in Communications & Marketing; to offer a helping hand to scientific staff seeking the right channels
 - Means: draw up and publicise a list coupling each faculty to a professional in Communications & Marketing who will offer support in the area of science communication
 - Schedule: June 2013.
 - Responsibility: Communications & Marketing Office in cooperation with Human Resources
- Raise awareness among young scientists of the importance of science communication and of translating their research into something applicable to society at large (valorisation)
 - Aim: to encourage, science communication; to raise the profile of Utrecht University; to increase employee engagement in valorisation; to show what Utrecht University is proud of
 - Means: pilot meetings for young scientists covering such issues as possibilities for valorisation, science communication and the contact persons within the faculties
 - Schedule: 2013
 - Responsibility: Human Resources in cooperation with the Communications & Marketing Office and the Valorisation Center

2. Judging merit (Code)

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.

The university's code of conduct embraces such core values as independence and commitment. This emphasizes the value that Utrecht University attaches to these aspects and encourages criteria of this nature to be included in selection procedures, alongside

quantitative criteria.⁴

In a number of faculties, the appointment of a professor involves the use of assessments that emphasize qualities other than research skills, such as organisational and leadership capabilities. In some cases the candidate is asked to deliver a public lecture in order to test his or her teaching skills.

Action

Without a doubt, in practice the candidate's number of publication is not the only aspect to which consideration is paid in selection interviews. However, at present neither policy nor guidelines provide evidence of this fact. To introduce some consistency, the following actions have been established:

- Research how behavioural change can be brought about;
Compile a checklist or guideline for selection interviews and ensure attention is paid to a wide range of competences
A key question in this respect is how the checklist or guideline can be implemented and how this change can be realised in the best way possible for the organisation:
- Aim: to offer guidelines to improve the assessment of 'soft skills' and ensure they are taken into consideration in the recruitment and selection process
- Means: guideline for recruitment and selection and a checklist for the interview
- Schedule: guideline and checklist to be completed by March 2014
- Responsibility: Human Resources

3. Working Conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both men and women researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Employee working conditions are laid down in the Collective Labour Agreement for the Dutch Universities (CAO NU) and in Utrecht University's own terms of employment schemes. Furthermore, employees may have recourse to national legislation concerning social security (such as the ABP pension scheme,⁵ the Working Hours Amendment Act, the Work and Care Act).

The CAO NU includes relevant information on the following areas:

- the duration of the employment;
- number of working hours and hours of work;
- flexibility in the number of working hours;⁶
- terms of employment individual choice model;⁷
- personnel policy;
- pension and social security;
- parental leave;
- sabbatical leave.⁸

⁴ http://www.uu.nl/SiteCollectionDocuments/Dienst_Studentenservice/Code_of_Conduct_Universiteit_Utrecht.pdf

⁵ <http://www.abp.nl/en/>

⁶ <http://www.uu.nl/en/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/workinghours/flexibleworkinghours/Pages/default.aspx>

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<http://www.uu.nl/en/informationfor/intstaffandvisitors/staffemployed/termsofemployment/moneyandyourjob/salary/multiplechoicemodel/Pages/default.aspx>

⁸ Article 4.16a of the CAO NU

In addition a number of university schemes are relevant, including:

- Number of Working Hours and Hours of Work Scheme⁹
- Special Leave Scheme¹⁰
- Sabbatical leave¹¹

Sabbatical leave is taken to mean an extended period of leave during which the employee devotes attention, either in a general manner or in a focused way, to his or her own employability. When the employee uses saved leave to take sabbatical leave, the employer grants a premium if, in the employer's opinion, the sabbatical leave is in the university's best interest.

In addition, researchers have great freedom, relatively speaking, to decide their own working hours. This freedom is very necessary to researchers and it makes it easier for them to balance their work and private activities.

Action

In the area of working conditions much has been stipulated in the CAO for Dutch Universities and Utrecht University's own schemes. Employees and their managers are sufficiently familiar with most working conditions. By contrast, staff are insufficiently familiar with the facility for sabbatical leave or rather it can be said that managers and their staff have the impression that insufficient use is made of this opportunity. Utrecht University greatly values sabbatical leave in the context of employee mobility and is therefore keen to see an increase in the use of this working condition. In order to achieve this, the following action has been established:

- Publicise widely the opportunity for sabbatical leave:
 - Aim: to promote the use of sabbatical leave
 - Means: identify any obstacles that may be hindering the take-up in order to arrive at an action plan for promoting the use of sabbatical leave
 - Schedule: identification of obstacles and action plan to be completed by June 2014
 - Responsibility: Human Resources

Publication

This action plan is published on the Utrecht University website.¹²

Enclosure

Gap analysis based on the template for the Charter and Code (The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers)

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<http://www.uu.nl/en/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/workinhours/workinghours/Pages/default.aspx>

¹⁰ <http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/holidayandleave/specialleave/Pages/default.aspx>

¹¹ <http://www.uu.nl/en/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/holidayandleave/sabbaticalleave/Pages/default.aspx>

¹² <http://www.uu.nl/EN/informationfor/jobseekers/Working-for-Utrecht-University/hr-excellence-in-research/Pages/default.aspx>

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers¹

"A Human Resources Strategy for Researchers Incorporating the Charter and Code"

The Netherlands Code of Conduct for Scientific Practice

The Netherlands Code of Conduct for Scientific Practice was established by the Association of Universities in the Netherlands (VSNU)² and came into force on 1 January 2005. It applies to all Dutch universities. This code describes the conduct desired of individual scientific practitioners with reference to five principles; scrupulousness, reliability, verifiability, impartiality and independence.

The principles may be regarded as general notions of good scientific practice and are not intended as supplementary judicial rules. The primary overarching principle is that every scientific practitioner is bound by the frameworks established by Dutch and international legislation. The second overarching principle is that every scientific practitioner must (should be able to) demonstrate how he puts these principles into practice (transparency).³

Academic integrity is currently a topic to which the VSNU is paying extra attention; the combined universities are doing everything possible to prevent and trace violations. In the context of the VSNU the requirements of the practice of science with integrity – the correct manner in which to conduct research – are currently being given extra publicity. Moreover, as a preventive measure and example, past violations have been anonymised and published on the VSNU website.

In addition, it is being stated as accurately as possible which violations, such as fraud, invention and plagiarism, the universities will take action against as violations of academic integrity.

At present some scientists are not as familiar with the code of conduct as others. In the coming period Utrecht University will be taking steps to further publicise the code of conduct among students, PhD candidates and scientific staff. The code is being incorporated in personnel policy.

Complaints Procedure Regarding the Protection of Academic Integrity at Utrecht University

Everyone involved in academic teaching and research at Utrecht University bears an individual responsibility for maintaining academic integrity. The right to complain about breaches of academic integrity committed by employees of the university is one of the means by which scientific integrity may be tested. This right to complain is laid down in the Complaints Procedure Regarding the Protection of Academic Integrity at Utrecht University.⁴

For many years now Utrecht University has had a Committee for Academic Integrity by which it ensures that complaints concerning academic integrity are handled correctly. The rapid and effective handling of cases ensures that the accused does not suffer unnecessarily, especially if an accusation is baseless.

Counsellor for Academic Integrity

For many years Utrecht University has had a Counsellor for Academic Integrity (VWI); the Executive Board appoints the holder of the position. The counsellor examines complaints regarding acts or omissions committed by employees of Utrecht University that contravene the general principles of professional

¹ The third person singular 'he' is used throughout this document. Please read this as being inclusive of men and women.

² <http://www.vsnul.nl/Home-english.htm>

³ http://www.uu.nl/university/utrecht/EN/profileandmissionstatement/Documents/The_Netherlands_Code_of_Conduct_for_Scientific_Practice.pdf

⁴ <http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/objectionsandappeals/academicintegrity/Pages/default.aspx>

academic practice.

After consultation with the Committee for Academic Integrity, the counsellor advises the Executive Board on the admissibility of complaints and any relevant measures to be taken.⁵

National Committee for Scientific Integrity Regulations (LOWI)

The LOWI was established in 2003 by the Royal Netherlands Academy of Arts and Sciences (KNAW), the Netherlands Organisation for Scientific Research (NWO) and the Association of Universities in the Netherlands (VSNU) and it advises, among others, the Executive Boards of the Dutch universities in matters concerning complaints about violations of academic integrity.⁶

Code of Conduct UU

The Code of Conduct provides a general framework for conduct and reflection for employees and students of Utrecht University. This code describes the values that govern the way people work and study at the university. The code enables these individuals to act independently in a responsible manner according to the university's values and standards and offers scope for calling others to account in this respect. The Code of Conduct also provides transparency to the public: it illuminates the ethical framework in which our staff operate and people know what they can expect in their dealings with our staff.⁷

I Ethical and professional aspects

1. Research freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

The Netherlands Code of Conduct for Scientific Practice⁸ (VSNU 2005), the "independence" principle. "Scientific practitioners operate in a context of academic liberty and independence. Insofar as restrictions of that liberty are inevitable, these are clearly stated."

The Netherlands Code of Conduct for Scientific Practice (VSNU 2005), the "impartiality" principle. "In his scientific activities, the scientific practitioner heeds no other interest than the scientific interest. In this respect, he is always prepared to account for his actions."

In recent years Utrecht University has chosen to apply focus to its research by clustering it in four strategic themes of sustainability, life sciences, institutions, and youth & identity.

Research is structured according to research programmes, which means that the research conducted must fit within the context of a particular research programme. During the recruitment of researchers, consideration is given to the research programmes and the aim is to fit the new researcher into these research lines. In view of this, the (new) researcher does not often experience the demarcation by means of research programmes as a limitation.

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http://www.uu.nl/SiteCollectionDocuments/Corp_UU%20en%20Nieuws/Klachtenregeling%20WI%201%20september%202012_EN%20def.pdf

⁶ <http://www.knaw.nl/Pages/DEF/28/514.bGFuZz1FTkc.html>

⁷ <http://www.uu.nl/SiteCollectionDocuments/EN%20Code%20of%20Conduct%20UU.pdf>

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http://www.uu.nl/university/utrecht/EN/profileandmissionstatement/Documents/The_Netherlands_Code_of_Conduct_for_Scientific_Practice.pdf

Furthermore, researchers must take account of the limited financial resources and this can form a practical limitation, such that it is not possible to carry out every research idea. In this regard, researchers should perform research that fits within a certain framework, in this case the framework set by subsidy providers / external financiers.

2. Ethical principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.

The Netherlands Code of Conduct for Scientific Practice (VSNU 2005), the "reliability" principle.
"Science's reputation for reliability is confirmed and enhanced through the conduct of every scientific practitioner. A scientific practitioner is reliable in the performance of his research and in the reporting, and equally in the transfer of knowledge through teaching and publication."

Utrecht University's Code of Conduct, with particular reference to the following rules of conduct:

- Professionalism: Utrecht University requests of its employees integrity, scrupulousness and expertise, this forms the basis of the professionalism of academic staff.
- Scrupulousness: employees of the university handle university resources with care.

In a number of faculties a number of additional codes of ethics are in force. These relate specifically to the disciplines in which staff operate.

For example, the three faculties of Veterinary Medicine, Medicine, and Science have dealings with the Animal Experiments Committee. All animal experiments should be submitted to this committee, which advises on animal experiments due to be conducted for the benefit of scientific research and education. The committee prevents unnecessary animal testing, promotes the welfare of laboratory animals and suggests alternatives. It is important that this committee focuses on the proposed research methods and does not become involved in the underlying research question, which is the researcher's own choice.

At the faculties of Social and Behavioural Sciences and Medicine, staff have dealings with the Medical Ethical Testing Committee, to which any research proposal for scientific research involving people must be submitted, after which the committee tests whether the performance of the research is acceptable on medical-ethical grounds and satisfies statutory regulations.

3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

The Netherlands Code of Conduct for Scientific Practice (VSNU 2005), the "scrupulousness" principle.
"Scientific activities are performed scrupulously, unaffected by mounting pressure to achieve."

The Netherlands Code of Conduct for Scientific Practice (VSNU 2005), the "verifiability" principle
"Presented information is verifiable. Whenever research results are publicised, it is made clear what the data and conclusions are based on, where they are derived from and how they can be verified."

The Netherlands Code of Conduct for Scientific Practice (VSNU 2005), the "impartiality" principle
"In his scientific activities, the scientific practitioner heeds no other interest than the scientific interest. In this respect, he is always prepared to account for his actions."

Included in the description of the scientific jobs presented in the University Job Classification System (UFO)⁹ are a number of professional aspects that relate to the attitude appropriate to and the responsibility involved in the job, such as:

- The exploration and assessment of the societal need for research and the scope for valorisation;
- The contribution of knowledge to other people's research within the capacity group;
- The monitoring of the academic integrity of the research vis-a-vis external interested parties;
- The compilation of publications for recognised scientific journals and professional journals;
- The amendment of publications in response to responses from referees and the PhD supervisor.

4. Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

The Netherlands Code of Conduct for Scientific Practice (VSNU 2005), the "scrupulousness" principle "Scientific activities are performed scrupulously, unaffected by mounting pressure to achieve."

When research is externally funded, occasions on which the research will be evaluated are established before the research commences. The frequency of the evaluations depends on the type of subsidy / funding.

Some of the financial accounting will be handled by Utrecht University's project administration (Research Support Office).

In addition to the agreed occasions for evaluation that occur when research is externally funded, work progress meetings are also held regularly with immediate superiors. On these occasions the research progress of both internally and externally funded projects is discussed.

It is Utrecht University policy that once a year the researcher has an Assessment and Development interview. On this occasion, the research results are discussed but less emphasis is given to the progress of any one research project; more attention is paid to the broad picture of the individual's development as a researcher.

For a PhD candidate, occasions on which supervision will be given are established at the start of the research and recorded in the training and supervision plan that is compiled for every PhD candidate.

5. Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

The Collective Labour Agreement for the Dutch Universities includes various articles on contractual and statutory obligations,¹⁰ such as:

Article 1.15 Personal advantage: it is prohibited to claim, request or accept reimbursements or remuneration

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<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/jobclassification/universityjobclassificationssystem/Pages/default.aspx>

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<http://www.uu.nl/en/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/claandtermsofemp/Pages/default.aspx>

from third parties.

Article 1.16 Confidentiality: the employee is obliged to keep all information derived from his position confidential.

Article 1.19 Employees' obligations pursuant to third-party agreements: the employee is obliged to comply with the rules pertaining to an agreement Utrecht University has entered into with a third party.

Article 1.20 Patent right and copyright: the employee is obliged to comply with provisions laid down by the employer with regard to patent right and copyright.

Article 1.21 Obligation to report: the employee who creates a possibly patentable invention during the performance of his duties is obliged to report this to the employer.

Article 1.22 Transfer and retention of rights: the employee transfers to the employer the rights to which the obligation to report applies.

Article 1.23 Reimbursements: if the employer makes use of rights transferred to it, the employee is entitled to fair reimbursement.

Utrecht University's principles for cooperation in the context of research with indirect funding and contract funding: here, the Executive Board has stipulated the principles that apply when cooperative relationships are entered into with third parties.¹¹ The principles describe matters in the areas of:

- Academic integrity and cooperation;
- Publication and confidentiality;
- Existing knowledge, ownership of Intellectual Property rights;
- New knowledge, ownership of Intellectual Property rights;
- Access to knowledge, ownership of Intellectual Property rights;
- Costs and liability;
- Applicable law.

The NWO Regulation on Granting: this includes the general rules pertaining to subsidy applications submitted to the Netherlands Organisation for Scientific Research (NWO). It includes rules pertaining to the subsidy application process and stipulations concerning project progress.¹²

6. Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

The Netherlands Code of Conduct for Scientific Practice (VSNU 2005), the "verifiability" principle "Presented information is verifiable. Whenever research results are publicised, it is made clear what the data and conclusions are based on, where they are derived from and how they can be verified."

Utrecht University's principles for cooperation in the context of research with indirect funding and contract funding: here, the Executive Board has stipulated the principles that apply when cooperative relationships are entered into with third parties. Some of these principles relate to knowledge valorisation and costs.¹³

The project controllers / project administrators can make dossiers available to auditors working for, say, KPMG for the annual accounts, or other parties. Where an FSR project is involved, for example, an audit is always performed by a special team from KPMG.

When considering a research project, three "opportunities for evaluation" can be identified:

¹¹ <http://www.uu.nl/EN/informationfor/intstaffandvisitors/Research/regulations/funding/Pages/default.aspx>

¹²

[http://www.nwo.nl/files.nsf/pages/SPES_5VEDDR_Eng/\\$file/Scrnd%20Reg%20Subs_Eng%20versie_opm%20JZ_1%20jul%202011.pdf](http://www.nwo.nl/files.nsf/pages/SPES_5VEDDR_Eng/$file/Scrnd%20Reg%20Subs_Eng%20versie_opm%20JZ_1%20jul%202011.pdf)

¹³ See under 10

1. At the start of a project; as soon as approval has been granted to start the project / the subsidy contract has been signed, the faculty asks the FCA team Project Administration Management (BAP) to release the project code produced by the faculty in SAP. Naturally, this requires the handing over of a number of documents such as the contract and the like
2. During the course of the project; the researcher is held to the agreements laid down in the contract.
3. At the end of the process; the BAP is involved when the project is concluded. BAP will, for example, monitor whether future projects are 'open' for longer than is desirable.

In addition, researchers / project controllers must comply with the accounting manual, subsidy conditions and laws and regulations.

7. Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

Dutch law includes the following provisions:

- Personal Data Protection Act;
- Medical Research (Human Subjects) Act;
- Animal Experiments Act.

In addition, within Utrecht University guidelines are being drawn up by the Executive Board and produced by the Work Group Safety & Environment within Corporate Real Estate & Campus. The Work Group is active in the following areas of activity: "working conditions and occupational health and safety", "areas of activity of workplace-related occupational health and safety" and "environment".¹⁴

It should not be possible, if relevant, to trace research data to individual persons (for example when Veterinary Medicine studies data on farmers from a particular region). With regard to the protection of data and confidentiality, at the Faculty of Social and Behavioural Sciences, for example, it is standard practice that all data are stored anonymised and in longitudinal research two files are used (one with personal details linked to test subject numbers and one with test subject numbers linked to research results).

8. Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

The conversion of scientific knowledge into social and economic value – valorisation – is the third core task of universities and Utrecht University has stated in its 2012-2016 Strategic Plan¹⁵ some of the ways in which it contributes to this aim: via post-initial education, via platforms for the exchange of knowledge between knowledge institutions and companies, via platforms in which the university meets schools, via public-private cooperation, by matching cooperation programmes in the Triple Helix (collaboration between trade and industry, knowledge institutes and government), via specialist patient care for people and animals, via advisory work and consultancy, via science communication, through professional publications, through the making available of scientific knowledge via the library and through countless outreach activities carried out by students and employees.

The Executive Board has compiled principles regarding cooperation in the context of research with indirect funding and contract funding.¹⁶ Some of these principles relate to:

¹⁴ <http://www.uu.nl/EN/informationfor/intstaffandvisitors/realestate/SafetyandEnvironment/Pages/default.aspx>

¹⁵ http://www.uu.nl/university/utrecht/EN/profileandmissionstatement/Documents/SP_EN_def.pdf

¹⁶ <http://www.uu.nl/EN/informationfor/intstaffandvisitors/Research/regulations/funding/Pages/default.aspx>

- Disclosure / publication: Utrecht University should be able to disclose (the results of) its research at all times, for example, by publishing information about the research, giving lectures, presentations, etc.
- Knowledge valorisation: Utrecht University is required to valorise knowledge; this can be done by publishing knowledge or making it available to other knowledge institutions and by allowing companies to commercially exploit knowledge.

Utrecht University Library's Open Access policy: an important aspect of Utrecht University Library's mission is to promote Open Access,¹⁷ which means freedom of access to academic information on the Internet. Traditionally, one of the library's tasks has been to make available the results of scientific research. In the digital world, Open Access is a condition for performing this task optimally.

The dissemination of research results is incorporated in the job profiles of the university's system of classifying scientific jobs. It is mentioned under the core activity of "research publication".

The Communications & Marketing Office and the faculty Communications departments are actively engaged in seeking research results that are suitable for generating publicity. It is considered important that attention be paid to this activity so that the organisation can demonstrate the results of the investments made in research.

Researchers are approached regularly by journalists – in connection with a topical theme – and asked to give their view of a particular situation. At various faculties, the internal newsletter reports those individuals who have been active in the media in the recent period.

The four strategic themes in research help steer communication at university and faculty level.

9. Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

In the Standard Evaluation Protocol (SEP) for assessing research, research groups report on the numbers of 'publications for the general audience'. They are expected to produce such publications¹⁸ and it is evident from the self-studies conducted for the SEP assessments that this is a widespread practice.

In the Assessment & Development interview, too, the "possible contribution to public debate" is a topic of discussion. The scientific staff are asked to provide input on this point in the reflective report that is produced prior to the Appraisal & Development interview.

The faculty Communications departments, the Press Communications department of the Communications & Marketing Office and the Centre for Science Communication and Culture (CWC) actively identify research results that are suitable for generating publicity. It is considered important that the organisation should demonstrate the results of the investments made in research and should introduce a wider public to research results.

Researchers are approached regularly by journalists – in connection with a topical theme – and asked to give their view of a particular situation. At one of the faculties, the internal newsletter reports those individuals who have been active in the media in the recent period.

The focus areas that have been established help steer university-level communication.

The conversion of scientific knowledge into social and economic value –

¹⁷ <http://www.uu.nl/university/library/EN/igitur/Pages/default.aspx>

¹⁸ <http://www.uu.nl/university/research/nl/hetutrechtseonderzoek/onderzoeksbeoordelingen/>

valorisation – is the third core task of universities. Utrecht University contributes to this aim in various ways: via post-initial education, via platforms for the exchange of knowledge between knowledge institutions and companies, via platforms in which the university meets schools, via public-private cooperation, by matching cooperation programmes in the Triple Helix (collaboration between trade and industry, knowledge institutes and government), via specialist patient care for people and animals, via advisory work and consultancy, via science communication (including that which is carried out by the University Museum and the Science Junction), through professional publications, through the making available of scientific knowledge via the library (Open Access) and through countless outreach activities by students and employees. Increasingly, alumni are acting as intermediaries between the university and society.

Important examples of regional cooperation are the founding of UtrechtInc for starting entrepreneurs, one of the Netherlands' most successful incubators, and the Utrecht Science Park, where dozens of companies and research institutes such as TNO, Deltares and the Hubrecht Institute have their offices alongside Utrecht University, the University of Applied Sciences Utrecht and UMC Utrecht. The Utrecht Science Park creates an ecosystem of large research institutions - public and private – in which open science is a matter of course.

In addition, the "Utrecht Valorisation Center" has opened. The centre clusters knowledge and expertise concerning the valorisation of the Utrecht knowledge institutions, in order to tailor education and research more closely to socially and commercially interesting applications.

The Centre for Science Communication and Culture (CWC) reflects the challenging environment that Utrecht University offers students alongside their studies, both culturally and intellectually, and in the areas of science education and, more generally, science communication.

The Centre for Science Communication and Culture is home to the following divisions: the University Museum; *Studium Generale*; Parnassos Cultural Centre; the university's cultural programmes; and the University Hall.

The various divisions of the CWC host a diverse range of activities such as cultural courses and other cultural provision; Parnassos Cultural Centre is active in such areas as music, dance and theatre; lectures and debates at Studium Generale encourage critical thinking and intellectual exchange; and the University Museum is responsible for managing the academic heritage and for developing exhibitions and activities for which the target audience is children.

Utrecht University also cooperates with numerous cultural organisations and events in the city of Utrecht and many of the university's students and employees are involved in cultural activities.

The University Museum plays an important role in public engagement. The University Museum is a science museum that offers its visitors the opportunity to investigate science and the university in an inspiring way. The University Museum is keen to help develop a positive critical attitude towards science and is keen to encourage and challenge its visitors to adopt an investigate attitude. The University Museum draws 52,000 visitors each year.

Since the advent in 2012 of the annual UU Publicity Prize, the university has been rewarding the scientist who has been most prominent in the media over the past 12 months and who has actively contributed to achieving this prominence. In this way, Utrecht University is keen to encourage scientists to generate publicity for their research and to participate in the debate of public issues. The UU Publicity Prize consists of a budget for making a video about the winning scientist's research that is to be used for publicity purposes.

The Communications & Marketing Office runs the course 'Dealing with the Press' for scientists.

10. Non discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

Equal Treatment Act: contains general rules for protection against discrimination on the grounds of religion, life convictions, political affinity, race, sex, nationality, hetero- or homosexual orientation or marital status.

The Equal Treatment Commission was set up under the Equal Treatment Act. This commission is an independent, national body that oversees compliance with its judgements, advises and provides information about equal treatment.

In addition, there are a number of acts dealing with specific situations:

- Equal Opportunities Act;
- Equal Treatment (Working Hours) Act;
- Equal Treatment (Disability and Chronic Illness) Act;
- Equal Treatment (Age at Work) Act.

In addition, there is a Utrecht University Complaints Procedure¹⁹ for dealing with intimidation, aggression, violence and discrimination. This includes the provision that employees who have a complaint concerning one of the above situations can see the counsellor or approach the Complaints Committee.

11. 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.

Utrecht University has instituted the Assessment & Development Interview Regulations²⁰ based on Article 6.7 of the CAO NU. These state that every employee has at least one A&D interview each year. At this time, the employee and his immediate superior review the work results achieved and the immediate superior appraises the employee's performance.

Standard Evaluation Protocol: All research performed at Utrecht University is assessed periodically by specialist external experts.²¹ This assessment is based on the Standard Evaluation Protocol for Public Research Organisations (SEP). This is a protocol that was drawn up by the Royal Netherlands Academy of Arts and Sciences (KNAW), the Netherlands Organisation for Scientific Research (NWO) and the Dutch Universities. It is used in all research assessments for which these bodies are responsible. In accordance with this protocol, Utrecht University has all its research institutes assessed every six years by an external review committee of specialist experts.

II Recruitment

Article 6.1 the CAO NU stipulates that during recruitment and selection the employer will act in accordance with the Recruitment Code of the Dutch Association for Personnel Management & Organisation Development (NVP).²²

The NVP Recruitment Code contains basic rules that labour organisations (companies and institutions that

¹⁹

<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termssofemployment/healthandworkingconditions/inappropriatebehaviour/Pages/default.aspx>

²⁰

<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termssofemployment/workarrangements/employment/Pages/DevelopmentInterview.aspx>

²¹ <http://www.uu.nl/university/research/EN/researchatutrechtuniversity/researchassessments/Pages/default.aspx>

²² <http://www.uu.nl/EN/informationfor/jobseekers/job-applications/Pages/default.aspx>

enter into labour relations) and job applicants, in the opinion of the Dutch Association for Personnel Management & Organisation Development (NVP), should take into consideration during recruitment and selection carried out with the aim of filling job vacancies. The aim of the code is to offer a standard for a transparent and honest recruitment and selection procedure. The code is structured chronologically from the arising of the vacancy to the appointment. The labour organisation can adapt the (application of the) code to suit its own particular situation, as necessary. The NVP will monitor the recruitment and selection practice of labour organisations and use its influence to bring these organisations up to the level it advocates and keep them there. The code was devised in consultation with the Labour Foundation.

The code is based on the following principles:

- the job applicant should have a fair chance of gaining the appointment (equal opportunities where suitability is equal; the labour organisation makes its choice based on suitability for the job);
- the job applicant is properly and fully informed of the application procedure, the details of the vacant position and the level thereof within the organisation;
- the labour organisation asks of the job applicant only that information which is necessary to assess suitability for the job;
- the job applicant provides the labour organisation with the information that it needs to gain a true and fair impression of the job applicant's suitability for the vacant position;
- the information obtained from the job applicant is treated as confidential and handled with care; in other respects, too, the job applicant's privacy is respected;
- the job applicant and the labour organisation are both aware that information available from open sources, such as the internet, and information obtained via third parties is not always reliable;
- any complaint submitted in writing by the job applicant to the labour organisation about careless, unfair or improper treatment will be responded to in writing by the labour organisation in question.

12. Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

All jobs at Dutch universities are recorded in the University Job Classification System. The university WP FLOW II Scheme²³ establishes how the UFO job profiles for academic jobs at Utrecht University are used. The qualification requirements and minimum mandatory results are laid down in this scheme. Also stated are the minimum requirements for promotion to the next senior job profile.

Less privileged groups who meet the intake standards and admission standards may also gain entry to a research career.

13. Recruitment (Code)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

Utrecht University is a member of AcademicTransfer:²⁴ a job vacancies site for scientists. AcademicTransfer is a cooperative association in which its members (Dutch universities, University Medical Centres and research institutes) have committed to publish all their academic job vacancies on the AcademicTransfer website. In recent years, this pool has been supplemented with job vacancies from trade and industry, a sector in which research talent is also being sought.

The primary aim is to offer the full range of available PhD places, research positions and postdoc positions, assistant professorships, associate professorships and full professorships. The website is

²³ <http://www.uu.nl/NL/Informatie/medewerkers/arbeidsvoorwaarden/Documents/RegelingWP-FLOWII.pdf>

²⁴ <http://www.academictransfer.com/>

available in several languages, although AcademicTransfer primarily makes available research vacancies in the Netherlands. All vacancies for which candidates are explicitly being recruited outside the Netherlands are also available in English.

Academic job vacancies are routinely forwarded; Euraxess is always a recipient of the postings.²⁵

14. Selection (Code)

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.

When a professor is to be appointed, an initial activity is to compile a job profile. Next, an appointment committee (selection committee) is formed. Provisions state that this appointment committee must have at least one and preferably two female members.

When another type of research position is being filled, a selection committee with an even balance of men and women and whose members represent various job positions is considered optimum. In some cases, it is appropriate for the committee to have a student member.

15. Transparency (Code)

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

Utrecht University adheres to the NVP Recruitment Code. One of the provisions of this code is that candidates "will be properly and fully informed of the application procedure, the details of the vacant position and the level thereof within the organisation".²⁶

Candidates who wish to receive further information concerning the organisation's response to their application may request this information and it will be provided.

16. Judging merit (Code)

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.

The university's code of conduct embraces such core values as independence and commitment. This emphasizes the value that Utrecht University attaches to these aspects and encourages criteria of this nature to be included in selection procedures, alongside quantitative criteria.²⁷

In a number of faculties, the appointment of a professor involves the use of assessments that emphasize qualities other than research skills, such as organisational and leadership capabilities. In some cases the candidate is asked to deliver a public lecture in order to test his teaching skills.

²⁵ <http://ec.europa.eu/euraxess/index.cfm/jobs/index>

²⁶ <http://www.nvp-plaza.nl/documents/doc/sollicitatiecode/sollicitatiecode-english-2009.pdf>

²⁷ http://www.uu.nl/SiteCollectionDocuments/Dienst_Studentenservice/Code_of_Conduct_Universiteit_Utrecht.pdf

17. Variations in the chronological order of CVs (Code)

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

Utrecht University adheres to the NVP Recruitment Code.

Candidates are given the opportunity to submit a CV with an attached letter of motivation and supporting evidence. In assessing an application, attention is paid not only to the CV, but also to the accompanying letter of motivation in which the candidate has the opportunity to present his case for applying.

18. Recognition of mobility experience (Code)

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

Included in Utrecht University's 2012-2016 Strategic Plan as the next level of aspiration is the realisation of an international Top Talent programme linked to the strategic themes of the Strategic Plan. "The relative number of international staff members has increased" is included as the key indicator. In addition, mobility is considered important and Utrecht University attaches importance to supporting its employees in their career options within as well as outside the university.²⁸

19. Recognition of qualifications (Code)

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

The university WP FLOW II Scheme establishes how the UFO job profiles for academic jobs at Utrecht University are used. The qualification requirements and minimum mandatory results are laid down in this scheme, and the required qualifications in the areas of Teaching and Research are linked to one another.

The WP FLOW II Scheme states the qualifications required to fulfil a job profile, but provides no guarantee that an employee will be promoted to a higher job profile. The "University Framework – A system of qualifications for academic staff at Utrecht University" contains guidelines for the content of the qualifications and the procedural requirements for their acquisition.

20. Seniority (Code)

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

WP FLOW II states that when a scientist does not yet possess the necessary qualifications, the opportunity to acquire them can be offered.

21. Postdoctoral appointments (Code)

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the

²⁸ http://www.uu.nl/university/utrecht/EN/profileandmissionstatement/Documents/SP_EN_def.pdf

institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

The CAO NU commits the university employer to maximum terms of appointment and imposes a barrier to holding consecutive postdoc appointments.

III Working conditions and social security

22. Recognition of the profession

All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

Every employee is placed in a scale in accordance with the University Job Classification System (UFO). This system describes the jobs and job levels and shows the connection between jobs. The descriptions are based on core activities and results to be achieved. This enables immediate superiors to translate directly from the job to the contribution the job-holder makes to the organisation's aims. The university job profiles for academic jobs at Utrecht University are applied in accordance with the university WP-FLOW II Scheme.²⁹

23. Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.

A number of matters concerning the work environment and employee health are regulated by Dutch law:

- Health and safety: Working Conditions Act
- Health and the employee: Working Conditions Service

24. Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Employee working conditions are laid down in the Collective Labour Agreement for the Dutch Universities (CAO NU) and in Utrecht University's own terms of employment schemes. Furthermore, employees may have recourse to national legislation concerning social security (such as the ABP pension scheme,³⁰ the Working Hours Amendment Act, the Work and Care Act).

The CAO NU includes relevant information on the following areas:

²⁹

<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/jobclassification/universityjobclassificationsystem/Pages/default.aspx>

³⁰ <http://www.abp.nl/>

- the duration of the employment,
- number of working hours and hours of work,
- flexibility in the number of working hours,³¹
- terms of employment individual choice model (multiple choice model),³²
- personnel policy,
- pension and social security;
- parental leave
- sabbatical leave.³³

In addition a number of university schemes are relevant, including:

- Number of Working Hours and Hours of Work Scheme³⁴
- Special Leave Scheme³⁵
- Sabbatical leave.³⁶

Sabbatical leave is taken to mean an extended period of leave during which the employee devotes attention, either in a general manner or in a focused way, to his own employability. When the employee uses saved leave to take sabbatical leave, the employer grants a premium if, in the employer's opinion, the sabbatical leave is in the university's best interest.

In addition, researchers have great freedom, relatively speaking, to decide their own working hours. This freedom is very necessary to researchers and it makes it easier for them to balance their work and private activities.

25. 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.

Under the Equal Treatment (Working Hours) Act, Dutch law prohibits discrimination between employees on the grounds of a difference in the number of their working hours.

Utrecht University employs a collective labour agreement – the CAO NU – so arbitrariness and instability are not to be expected.

26. Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

The salary scales are laid down in the CAO.³⁷ They are linked to the university job profiles (UFO).

³¹ <http://www.uu.nl/nl/informatie/medewerkers/arbeidsvoorwaarden/afspraken/werkduur/flexibelewerkduur/>

³² <http://www.uu.nl/nl/informatie/medewerkers/arbeidsvoorwaarden/geldenuwwerk/salaris/keuzemodel/>

³³ Article 4.16a of the CAO NU

³⁴ <http://www.uu.nl/nl/informatie/medewerkers/arbeidsvoorwaarden/afspraken/werkduur/>

³⁵ <http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/holidayandleave/specialleave/Pages/default.aspx>

³⁶ <http://www.uu.nl/en/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/holidayandleave/sabbaticalleave/Pages/default.aspx>

In addition, Article 3.20 of the CAO NU provides for a job performance bonus, which the employer can grant if, in the employer's opinion, this is justified by circumstances or facts.

Employees of Utrecht University join the pension scheme run by Stichting Pensioenfonds ABP, the pension fund for the government and education sectors.

When employees of Utrecht University become unemployed through no fault of their own, they can claim unemployment benefit under the Unemployment Insurance Act. Moreover, they are also entitled to a supplementary benefit under the following scheme: the Non-Statutory Unemployment Scheme for Dutch Universities (BWNNU).³⁸

In addition, the universities employ the Sickness and Disability Scheme for the Dutch Universities (ZANU).

27. 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.

In January 2009 Utrecht University signed the 'Talent to the Top' Charter whose aim is to translate collective good intentions into deeds: to get more female talent on board, to retain these women and appoint them to senior positions. The focus for the universities is the number of female professors and, among the support staff, the number of women in senior management.

Mentoring & Coaching for women in science: Utrecht University supports women who aspire to a career in science by means of the Mentoring & Coaching programme. It is very important for the university that it retains female scientific talent, but too often still female scientific staff encounter cultural and institutional barriers. The aim of the mentoring and coaching programme is to give female scientific staff greater insight into the opportunities for progression within the university.

The programme objective is to support women in fulfilling their ambitions and, thus, to increase their chance of taking career steps within the academic sector. Further aims are to give the programme participants a better understanding of Utrecht University as an organisation and to create a stronger network of talented female scientific staff.

A target has been set for each faculty for the proportion of female professors to be realised and the Executive Board monitors annually the progress made towards these targets. Each of the faculties has its own action plan for realising the planned proportion of female professors.

Like other universities, Utrecht University is looking to achieve the objective on two fronts: promoting the proportion of female professors and promoting the proportion of women in university senior management. The first front is critical for a university because it is professors who bear responsibility for the execution of the core processes of teaching and research. The groundwork for appointing a new professor is done by the faculty; the Executive Board makes the appointment. The faculty management must make the first move and has committed to increase the proportion of female professors in line with a target that must be realised by the end of 2014. The situation to date varies greatly from faculty to faculty, but the target university average is 20%.

The focus for the second front, involving university senior management, is senior management in support processes. The Executive Board is responsible for these appointments. The proportion of women in this segment of senior management is already substantial; the target will ensure that the Executive Board has raised the proportion to 40% by the end of 2014.

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<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/moneyandyourjob/salary/Pages/default.aspx>

³⁸ <http://www.vsnunl/CAO/Bijlage-Sociale-zekerheid-BWNU-en-ZANU.htm>

28. 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.

The second paragraph of Article 6.5 of the CAO NU states that the employer shall establish a career policy. For scientific staff this is put into practice in the university scheme entitled WP FLOW II, which as its subtitle confirms, addresses "Job profiles, careers and the rating of academic staff". This scheme lays down how the UFO profiles for scientific jobs at Utrecht University are used. Qualification requirements are stated for each job profile; separately, the "University Framework – A system of qualifications for academic staff at Utrecht University" has been established.³⁹ As a rule, any employee who cannot meet all the qualifications for a job profile may not perform the job in question.

Provisions have been made at university and faculty level for scientists wishing to attain the necessary qualifications.

An objective in Utrecht University's 2012-2016 Strategic Plan states that the university will invest in the career prospects and professional development of its lecturers.

29. 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.

Utrecht University's 2012-2016 Strategic Plan emphasizes the value of mobility and states that employees are supported in their career opportunities both within and outside the university. Utrecht University is vigorously continuing the mobility and career programmes it has developed in recent years. These include the programmes aimed at PhD candidates seeking a career after completing their study, Mentoring and Coaching for talented women in science and Work2Work and Choice2Change, which focus on switching jobs / career development.⁴⁰

Academics commonly spend a period abroad, particularly PhD candidates. Various scholarships support this mobility. Young and more experienced researchers alike find that such a period of mobility gives their development a positive boost.

In practice, this mobility is enabled by, for example, giving employees the opportunity for sabbatical leave. Sabbatical leave is taken to mean an extended period of leave that the researcher uses for self-development by means of, for example, a foreign visit or a period set aside to write a book.

30. 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.

Utrecht University offers all its employees support in the area of career choices by means of the Choice2Change career programme. This career programme helps employees examine who they are,

³⁹ <http://www.uu.nl/SiteCollectionDocuments/OenO/RegelingenHandleidingen/BKO%20SKO%20kader%20UU.pdf>

⁴⁰ http://www.uu.nl/university/utrecht/EN/profileandmissionstatement/Documents/SP_EN_def.pdf p. 23 and 27

what they can do and, especially, what they want and how they can realise their wishes. A reorientation with the aid of this programme provides a new perspective on an individual's career and personal development.

There is also a programme aimed specifically at PhD candidates (PhD Activating Career Event: PhACE), which introduces them to various career options. The two-day conference is intended for PhD candidates in the penultimate year of their study who are wondering whether they aspire to a career in science. The following questions are addressed: What career options are there and what skills do these options require?

For female scientists, support is offered in the form of the Mentoring & Coaching process. With the aim of increasing their chance of taking career steps within the academic sector, they participate in such activities as workshops, coaching and peer mentoring. With the programme, Utrecht University wishes to support talented women to fulfil their ambitions, and create a stronger network of talented female scientific staff.

Article 6.5 of the CAO NU establishes that every employee with a temporary employment contract for a period of two years or longer, or a permanent employment contract, shall be given the opportunity to obtain career advice from a professional organisation

31. Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

Section 3 Patent Right and Copyright of the CAO NU specifies the scope of the obligation to report, the transfer and retention of rights and reimbursements.

In addition to this, the CAO NU establishes the fair reimbursement of intellectual property rights;⁴¹ that an employee of Utrecht University is entitled to a fair reimbursement in those cases where Utrecht University valorises the knowledge generated by that employee and Utrecht University has a financial gain in so doing. This is conditional upon the employee lending his cooperation to all procedural matters and matters relating to the patent itself as are necessary to achieving (I) a good patent position and (II) the transfer of rights to third parties.

32. Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

Researchers who have made a material contribution to a piece of research are credited as co-authors. Like others, PhD candidates publish and are credited with the authorship of articles to which they have contributed.

For larger projects, the person to be credited as the author is laid down in a contract.

33. 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

⁴¹ <http://www.uu.nl/NL/Informatie/medewerkers/arbeidsvoorwaarden/Documents/RegelingbillijkevergoedingUU2008.pdf>

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.

The "University Framework – A system of qualifications for academic staff at Utrecht University" provides a balance between Teaching and Research with respect to careers, development opportunities and recognition (remuneration).

Basic Teaching Qualification

The Basic Teaching Qualification is obligatory for university lecturers. Lecturers interested in obtaining the qualification will have to display teaching experience, discuss their experiences with a tutor, and compile a teaching portfolio to be submitted to an assessment committee. The portfolio shall contain information and documentation that illustrate the teaching activities and teaching qualities of the lecturer involved. At a minimum, the portfolio shall consist of student evaluations of the lectures delivered.

Within the university framework, each individual faculty has its own interpretation of the basic teaching qualification. This information can be obtained at the relevant faculty.

Senior Teaching Qualification

Lecturers interested in becoming a senior lecturer or senior lecturer / researcher will have to obtain the Senior Teaching Qualification. At senior positions, lecturers not only teach but also manage teaching programmes.

In order to obtain the Senior Teaching Qualification, lecturers will have to have obtained the Basic Teaching Qualification first. In addition to this, they will have to submit their teaching curriculum vitae to the assessment committee. The curriculum vitae shall contain, amongst other things, a description of the various relevant teaching activities and products, a self-assessment, and student evaluations. Within the university framework, each individual faculty has its own interpretation of the Senior Teaching Qualification. This information can be obtained at the relevant faculty.

The Centre for Teaching and Learning supports lecturers wishing to expand their repertoire of teaching skills and who wish to prepare for the Basic Teaching Qualification or Senior Teaching Qualification.

The importance of teaching is emphasised in the 2012-2016 Strategic Plan: "The university will invest in the career prospects and professional development of its lecturers" (chapter 6, target 4). At Utrecht University all permanently appointed lecturers (with an appointment for more than 0.2 FTE) have, in principle, a Basic Teaching Qualification or are in the process of obtaining one. The university expects its lecturers to continually develop their professional teaching skills.

Over the past few years Utrecht University has established development and professionalisation programmes for talented scientific staff. These cover such areas as academic leadership and educational leadership. Further elements of staff policy are profile chairs and teaching fellows.

Profile professors focus on teaching, research, valorisation or clinical care. Their teaching remit focuses on a sub-division of the field of work of the core professor's research group and helps refine the faculty's profile. When a professor is appointed, the area to which the focused teaching remit applies is specified; there are four areas. A profile professor is appointed due to his prominence and career achievements. Profile chairs offer the opportunity to commit (young) talent to the university at a time when a core chair is not available.

Teaching fellows are exempt from fulfilling part of their duties for a period of two years, allowing them to devote themselves to educational innovation within the faculty.

34. 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.

The University Counsellor for staff matters is available to any employee of Utrecht University who has a complaint, grievance or question about conditions or events in the workplace. The matter may be related to supervisors, colleagues, the ambience at work or the way in which complaints or questions are handled.

Utrecht University has a complaints procedure and counsellor for inappropriate behaviour.⁴² The tasks of the counsellor for inappropriate behaviour include the provision of information, care, guidance and mediation. Information is always treated confidentially.

There is also a Counsellor for Academic Integrity (VWI). This officer deals with complaints about acts or omissions committed by the university's employees that contravene the general principles of professional academic conduct. When employees are unsure of the actions they can take in certain cases, and do not yet feel sufficiently confident to approach the complaints committee – the Committee for Academic Integrity (CWI) – they can discuss matters with the VWI. The VWI can then advise about the appropriate steps to take or, for example, may mediate when that seems a more appropriate course of action than a formal complaint.

When a complaint is lodged with the CWI, the CWI advises the Executive Board as to the validity of the complaint and any relevant measures to be taken. All this is explained in the Complaints Procedure Regarding the Protection of Academic Integrity at Utrecht University.⁴³ The framework for assessment used by the VWI and the CWI is the Netherlands Code of Conduct for Scientific Practice. However, this code of conduct provides a general framework and, in its handling, the CWI ensures that its advice is well supported by reasons, so that its advice also forms a framework for academic conduct and so that the standards in the code of conduct are refined.

For many years now Utrecht University has had a Committee for Academic Integrity by which it ensures that complaints concerning academic integrity are handled correctly. The rapid and effective handling of cases ensures that the accused does not suffer unnecessarily, especially if an accusation is baseless.

In addition, the university has Whistle-Blowing Regulations⁴⁴ under which employees can report to their immediate superiors an abuse occurring at Utrecht University or any reasonably founded suspicion of an abuse.

All employees of Utrecht University also have access to corporate welfare (social services).⁴⁵ This service can provide all employees, including managers, with psychosocial advice and support should psychosocial problems arise that are related to the nature of their work.

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<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/healthandworkingconditions/inappropriatebehaviour/complaintsprocedure/Pages/default.aspx>

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<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/objectionsandappeals/academicintegrity/Pages/default.aspx>

⁴⁴

<http://www.uu.nl/en/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/objectionsandappeals/whistleblowers/Pages/default.aspx>

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<http://www.uu.nl/EN/INFORMATIONFOR/INTSTAFFANDVISITORS/STAFFEMPLOYED/TERMSOFEEMPLOYMENT/HEALTHANDWORKINGCONDITIONS/HEALTH/CORPORATEWELFARE/Pages/default.aspx>

If an employee does not agree with a decision taken in respect of him by the employer, the employee may lodge an objection or appeal.⁴⁶ The provisions of the General Administrative Law Act apply to this objection or appeal.

35. Participation in decision-making bodies

Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

Utrecht University considers well-organised employee and student representation to be of great importance to the functioning of the university. Employees at every level of the organisation can share their thoughts and give advice.⁴⁷

The following consultative bodies are involved:

- University Council: the central participatory council at Utrecht University. The University Council represents the interests of students and employees.
- Faculty Council: each faculty has its own participatory body for its staff and students.
- Employees' consultative body: the university service departments and the university administration each have an employees' consultative body: the participatory body for staff of these services. The members of these consultative bodies are elected staff representatives.

IV Training

36. Relation with supervisors

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

Article 6.8 CAO NU: this establishes that the employer ensures that a training and guidance plan is compiled for the PhD candidate, that this plan is worked out in further detail at the end of the first year and is adjusted as necessary from year to year. The training and guidance plan establishes, in any event, who will act as the PhD candidate's supervisor and the extent, in minimum hours per month, of the personal guidance from the appointed supervisor to which the PhD candidate is entitled.

The Doctoral Degree Regulations for Utrecht University⁴⁸ also establish that a supervisor should be appointed and that the supervisor will coach the PhD candidate through the process of writing his thesis. The supervisor ensures that he and the PhD candidate consult regularly.

Consultation with managers in work progress meetings, departmental meetings and the like

The employee's relationship with his supervisor also involves work progress discussions that are not laid down in procedures, but which are scheduled in consultation between the employee and his manager. There are also departmental meetings at which the general progress of various projects is addressed.

The PhD programmes at Utrecht University are provided in six graduate schools.⁴⁹

37. Supervision and managerial duties

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<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/objectionsandappeals/objectionsandappeals/Pages/default.aspx>

⁴⁷ <http://www.uu.nl/EN/informationfor/intstaffandvisitors/representation/Pages/default.aspx>

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<http://www.uu.nl/EN/informationfor/intstaffandvisitors/Research/regulations/phdregulations/Documents/PromotiereglementEN20110105.pdf>

⁴⁹ <http://www.uu.nl/university/education/EN/graduateschools/Pages/default.aspx>

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

Article 6.8 CAO NU: this establishes that the employer ensures that a training and guidance plan is compiled for the PhD candidate, that this plan is worked out in further detail at the end of the first year and is adjusted as necessary from year to year. The training and guidance plan establishes, in any event, who will act as the PhD candidate's supervisor and the extent, in minimum hours per month, of the personal guidance from the appointed supervisor to which the PhD candidate is entitled.

The Doctoral Degree Regulations for Utrecht University also establish that a supervisor should be appointed and that the supervisor will coach the PhD candidate through the process of writing his thesis. The supervisor ensures that he and the PhD candidate consult regularly.

Utrecht University has instituted the Assessment & Development Interview Regulations based on Article 6.7 of the CAO NU. These state that every employee has at least one A&D interview each year. At this time, the employee and his immediate superior review the work results achieved and the immediate superior appraises the employee's performance.⁵⁰

38. Continuing Professional Development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

Utrecht University runs various courses for scientists in management positions, such as the "Academic Leadership" track. This seminar track consists of several meetings at which the following matters, among others, are addressed:

- communication theories and key concepts related to the leadership of professionals;
- insight into one's own strengths and weaknesses with regard to communication;
- creating a support base, time management, delegating, coaching talented individuals, giving feedback, discussion techniques.

Center of Excellence in University Teaching

The continuous development of education and teaching and the increasing internationalisation reinforce the need for educational excellence and educational leadership. Utrecht University is keen to be at the international forefront and is therefore investing in the continuous professionalisation of its teaching. Scientists who have acquired at least the Basic Teaching Qualification may participate in the development programmes of the Center of Excellence in University Teaching: the Honours Teaching track, the Educational Leadership track, the Master Class in University Teaching in English and the Master Class in Quality Assurance.

In addition, Utrecht University's Centre for Teaching and Learning⁵¹ provides a range of training and courses and is open to everyone engage in learning and teaching.

The agreements for continuous professional learning are laid down in the Training Facilities Scheme.⁵² Employees may be eligible for assistance in terms of both time and funding – depending on the course involved.

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<http://www.uu.nl/EN/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/employment/Pages/DevelopmentInterview.aspx>

⁵¹ <http://www.uu.nl/NL/col/organisatie/Pages/default.aspx>

⁵²

<http://www.uu.nl/en/informationfor/intstaffandvisitors/staffemployed/termsofemployment/workarrangements/holidaysandleave/studyleave/Pages/default.aspx>

The importance of development and of having a range of development programmes is endorsed in the 2012-2016 Strategic Plan⁵³ with, among others, the following initiatives: the structured approach to appraisal and development interviews; programmes in preparation for the Basic Teaching Qualification and the Senior Teaching Qualification; and courses related to employability.

39. 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.

Article 6.9 CAO NU: this establishes that it is vitally important that a close eye is kept on the employee's knowledge and experience and that maintaining this knowledge at the desired level is the joint responsibility of the employer and employee.

Training and development are important points for attention in the annual Assessment and Development interviews and are included in the Assessment & Development Interview Regulations.

The Centre for Teaching and Learning supports lecturers wishing to expand their repertoire of teaching skills and who wish to prepare for the Basic Teaching Qualification or Senior Teaching Qualification.

40. 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.

Article 6.6 CAO NU: this establishes that the employee is entitled to an annual interview with his line manager about the manner in which he will perform his job in the coming period, taking into consideration his performance in the past period.

Article 6.8 CAO NU: this establishes that the employer ensures that a training and guidance plan is compiled for the PhD candidate, that this plan is worked out in further detail at the end of the first year and is adjusted as necessary from year to year. The training and guidance plan establishes, in any event, who will act as the PhD candidate's supervisor and the extent, in minimum hours per month, of the personal guidance from the appointed supervisor to which the PhD candidate is entitled.

The Doctoral Degree Regulations for Utrecht University⁵⁴ also establish that a supervisor should be appointed and that the supervisor will coach the PhD candidate through the process of writing his thesis. The supervisor ensures that he and the PhD candidate consult regularly.

In the University Job Classification System (UFO)⁵⁵ the job profiles for scientists establish and describe the important supervisory role that scientists fulfil. This role includes advising about the best way to conduct a piece of research; discussing the progress of a piece of research or a part of that research; and correcting draft articles.

Finally, the PhD programmes at Utrecht University are provided in six graduate schools.⁵⁶

⁵³ http://www.uu.nl/university/utrecht/EN/profileandmissionstatement/Documents/SP_EN_def.pdf , inc. p. 27

⁵⁴

<http://www.uu.nl/EN/informationfor/intstaffandvisitors/Research/regulations/phdregulations/Documents/PromotiereglementEN20110105.pdf>

⁵⁵ UFO profile: Researcher

⁵⁶ <http://www.uu.nl/university/education/EN/graduateschools/Pages/default.aspx>

