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1. Organisational information

The key figures of Utrecht University are data of 2018, in number of full time equivalents.

1.1. Staff en students

<table>
<thead>
<tr>
<th>Category</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total researchers</td>
<td>3,123*</td>
</tr>
<tr>
<td>Of whom are international</td>
<td>875</td>
</tr>
<tr>
<td>Of whom are externally funded</td>
<td>182</td>
</tr>
<tr>
<td>Of whom are women</td>
<td>1,413</td>
</tr>
<tr>
<td>Of whom are R3 or 4 / professors and associate professors</td>
<td>366</td>
</tr>
<tr>
<td>Of whom are R2= postdoc level</td>
<td>800</td>
</tr>
<tr>
<td>Of whom are R1= in most organisations doctoral level (promovendi)</td>
<td>1,759</td>
</tr>
<tr>
<td>Total number of students</td>
<td>31,801**</td>
</tr>
<tr>
<td>Total number of staff</td>
<td>2,561*</td>
</tr>
</tbody>
</table>

* Excluding the University Medical Center Utrecht (UMCU)
** Including the Faculty of Medicine

1.2. Research funding

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total annual budget</td>
<td>855,576,000</td>
</tr>
<tr>
<td>Annual organisational direct government funding</td>
<td>495,730,000</td>
</tr>
<tr>
<td>Annual competitive government-sources funding</td>
<td>137,656,000</td>
</tr>
<tr>
<td>Annual funding from private, non-government sources, designated for research</td>
<td>76,378,000</td>
</tr>
</tbody>
</table>

1.3. Organisational profile

Utrecht University is a wide-range, international research university of high standing. We have a strong connection to the city of Utrecht and our roots lie deep in the past (1636). Our interdisciplinary research targets four themes: Life Sciences, Pathways to Sustainability, Dynamics of Youth and Institutions for Open Societies. We are a trailblazer in the field of modernising educational concepts. Our student pass rate is high. Our teaching and research are strongly connected. We work together in tight communities. We believe diversity is important. All this provides us with a solid base from which to work with others around the globe on the societal issues of the future.
2. Strengths and weaknesses of the current practice

2.1. Strengths of the current practice

A lot of principles of this theme are covered by national legislation and national codes and university policies (Appendix, p. 19).

For example:
- In the NGWI (Dutch code of conduct on academic integrity) of 2018 lays down the principles for Honesty, Scrupulousness, Transparancy and responsibility.
- There is a national recruitment code, called NVP Recruitment Code which describes guidelines for transparency.
- The Charter Talent to the Top contains a guideline and 9 commitments for diverse talent.
- In 2019 the Association of Universities in The Netherlands published a paper about the Dutch system for promotion. The agreements described in this paper should establish that all promotendi will be mentored and judged on the same criteria. The recommendations are aimed at a successful and timely completion of the promotion.

Since 2015, UU has been paying extra attention to a number of policy themes. This attention is manifest in a number of broad programmes that have resulted in the following strengths:

Theme 1: Ethical and professional aspects

Principle 9. Public Engagement

For a considerable time, Utrecht University has been active in the area of public engagement, for example via platforms and programmes organised by the Centre for Science and Culture, the University Museum, the Studium Generale lectures and the collaboration with primary education via the Wetenschapsknooppunt (Science Hub). In order to boost mutual engagement between UU and society, we established a UU-wide Public Engagement Programme in 2017. The objective of the programme is to ensure an adequate support structure and knowledge exchange as well as to develop new activities. Since the programme was set up, a great deal of knowledge and skills have been acquired that will be used to present science to an extremely wide range of target audiences (non-academics) in an attractive and accessible manner and facilitate interaction and dialogue with these groups. Within the university, there has been a visibly amplified focus on social impact and how it can be boosted by means of proactive scientific communication. This has culminated in successful activities such as Meet the Professor, the Know-It-All Festival (Betweter Festival) and Skyscraper, the plastic whale, all of which helped to boost awareness and appreciation of public engagement activities among academics, partners and the general public.

Our focus areas were as follows:
- encouraging PE activities by establishing the Seed Fund;
- development and facilitation of expertise and cooperation in the field of public engagement by communication professionals and other support staff;
- collecting and boosting visibility of good examples for academics and support staff.

This has resulted in the following strengths:
- Together with a number of partners, Utrecht University tackled 14 key societal issues in social hubs.
- UU’s Centre for Science and Culture is brimming with expertise in the fields of scientific literacy, education, reflection and broad education and conducts activities for and with 100,000 interested citizens per year.
- There is growing attention among academics and support staff for knowledge development and exchange in the field of scientific communication and public engagement.

Principle 10. Non discrimination

In response to social developments, the Diversity and Inclusion programme was set up in 2018 with the goal of ensuring a more diverse and inclusive organisation. Within the scope of this programme, the Incentive Fund for Diversity and Inclusion was set up in 2018. Each year, Utrecht University’s Diversity & Inclusion Task Force makes €50,000 available for projects and activities that promote diversity among
students and staff. Grants of up to €5,000 can be requested for each initiative. In addition, the annual Diversity & Inclusion Award draws attention to and expresses appreciation for initiatives devised by students and staff that help make UU a more inclusive university.

The Diversity and Inclusion programme focuses on the following themes, among others:

- **Inappropriate behaviour**
  Regulations governing inappropriate behaviour have been in place at UU since 1988. These regulations lay the foundations for the complaints procedure, the complaints committee and the confidential advisor position, among other things. In 2019, following the global attention generated by the #MeToo movement for the issue of inappropriate behaviour, as well as the publication of a report on female professors in the Dutch education system, we decided to pay extra attention to the issue of inappropriate behaviour. To highlight the fact that inappropriate behaviour is not tolerated at UU, the following measures were taken:
  - The quality of information provision was improved.
  - The code of conduct and the complaints procedure were updated.
  - An online training course for supervisors was developed.
  - Any staff members who wish to talk about inappropriate behaviour that they or others have experienced can contact a confidential advisor. Moreover, an additional confidential advisor was appointed.
  - In order to raise awareness and devote extra attention to the issue, a campaign was set up supported by an animated film (among other resources).

- **Training courses in unconscious bias and intercultural awareness**
The UU strives to be an inclusive organisation in which no staff members face any kind of discrimination. In keeping with the Diversity & Inclusion programme's action line 'Equal treatment and inclusion', staff training courses were established in order to raise awareness of unconscious bias. These have been available to all staff members since 2019. Specific attention has been paid to 'inclusive leadership', with a focus on assessment and development interviews and the prevention of unconscious bias during recruitment and selection activities.

Since May 2018, UU has also been offering all staff members a training course on Intercultural Awareness, the goal of which is to raise awareness of how to facilitate cooperation within international organisations.

- **Encouraging appointment of female scientists**
  In keeping with the 'Equal treatment and inclusion' line of action, UU monitors data concerning gender ratios among academic staff. This has resulted in the following:
  - Within a five-year period, the percentage of female professors rose to 27.9% (an increase of 8.2%). In 2017 and 2018, Utrecht University appointed 19 female professors within the scope of the government's Westerdijk Talent Impulse programme. The target for 2020 is to reach 27%. When this objective was established, the appointment of the Westerdijk professors was not anticipated.
  - The number of female associate professors has risen slightly to 32.7%.
  - The number of female assistant professors has risen by 7%.

One of the goals of the unconscious bias training courses is to encourage promotions for women in academia.

**Theme 2: Recruitment and selection**
To boost the recruitment, selection and onboarding process, a new project was established in 2018 for the purposes of reviewing existing activities and setting up new activities.

For this purpose, special attention was paid to:
  - the recruitment of international staff, given UU's ambition to increase the number of international employees. Extra attention will therefore be devoted to attracting, finding, selecting and onboarding international staff;
  - inclusive recruitment and selection, given UU's ambition to be an inclusive organisation.
So far, the project has had the following results:

- a recruitment and selection toolkit that gives HR advisers and supervisors useful information about how to attract a more diverse and international range of candidates. The toolkit also helps ensure a transparent application process and an improved candidate experience;
- a vacancy for a recruiter who is specially trained in international recruitment and selection. This recruiter will also investigate how we can improve our international recruitment process in order to attract more international researchers;
- training all HR advisers in the STARR selection method in order to gain better insight into the candidates' qualities, knowledge and skills, which in turn will enable fairer selection practices;
- a collaboration with the Diversity & Inclusion programme to facilitate unbiased recruitment and selection by selection committees (professors and HR advisers);
- ATS (applicant tracking system): this system ensures that every applicant is followed up on, so candidates can no longer be forgotten during the selection process (every candidate will receive a response).

Theme 3: Terms and conditions of employment and social security

**Principle 24. Working conditions**

Initiatives within the Diversity & Inclusion programme include:

- **Building accessibility**
  One initiative stemming from the Diversity & Inclusion programme is the Building Accessibility project. The university wants to ensure that everybody can access its grounds and buildings as easily and independently as possible. For this purpose, the following initiatives have been set up:
  - To provide users of the buildings with information about building accessibility, we set up 'building web pages' for over 70 of the university's buildings. [https://www.uu.nl/en/organisation/real-estate-and-campus/campus-utrecht-science-park/facilities/buildings-utrecht-science-park](https://www.uu.nl/en/organisation/real-estate-and-campus/campus-utrecht-science-park/facilities/buildings-utrecht-science-park)
  - We have also actively taken steps to make buildings more accessible, paying attention to entrances, wheelchair accessibility of lecture halls, study rooms, corridors and toilets, and accessibility of outdoor areas and bicycle parking spaces.
  - In 2019, user tests of approximately 60 university buildings were conducted in order to identify problems with building accessibility. These tests were carried out by the Studying without Limitations Platform and will continue into 2020. Actions will be taken to resolve any problems discovered by these tests.
  - In 2019, accessibility principles were established to ensure the aspect of accessibility is taken fully into account during the development of new projects. These principles will be applied as standard during the development of new buildings and major renovation projects at the university.

In 2017, UU also set up a pilot for a vitality programme entitled Fit4UU, the objective of which is to boost vitality among staff. Based on the positive experiences gained during the pilot, it was decided to continue this programme in 2019 in a broader form (see the activity list).

Theme 4: Training

**Principle 37. Supervision and managerial duties**

UU operates several leadership tracks for academic staff. These leadership tracks provide support for academic supervisors in relation to their management duties and specifically focus on teaching supervisors to coach and counsel the staff members in their team:

- research leadership;
- academic leadership for associate professors;
- academic leadership for professors.

**Principle 38. Continuing Professional Development**
At UU, we pay a great deal of attention to professional development. All UU staff members can find the extensive range of development opportunities available to them via an internal website called the Development Guide. Here, you can find general programmes suitable for all staff as well as more specialist programmes aimed at specific target groups. For example, we have developed programmes that specifically cater to the needs of lecturers with temporary contracts, focusing on didactic skills, general skills and career development.

2.2 Weaknesses of the current practice

**Theme 1: Ethical and professional aspects**

**Principle 9. Public engagement**
The Public Engagement programme has identified the following gaps for the 2020-2024 period:
- continual need for structural professional support and resources for researchers who wish to engage a wide audience;
- insufficient appreciation of and recognition for non-research duties, meaning researchers have less time for public engagement activities in addition to their research and teaching responsibilities;
- efforts to reach a broad and diverse audience not always successful;
- still insufficient integral collaboration within the UU based on a joint university-wide vision of social impact;
- need for scientific expertise in the area of public engagement and its impact.

*List of actions: action 8*

**Principle 8. Dissemination, exploitation of results**
In 2019, the Open Science programme came into operation. However, UU staff are still insufficiently aware of Open Access and 'Plan S' and 100% Open Access is yet to become a reality.

*List of actions: action 7*

**Principle 10. Non discrimination**
- Within UU, there is insufficient awareness of the dangers of unconscious bias and the effect it can have on recruitment and selection, collaboration and evaluation, among other areas.
- At UU, a great deal of collaboration is conducted between staff members of different nationalities and with different cultural backgrounds. These collaborations can sometimes run into problems due to a lack of knowledge of cultural differences.
- Given the developments in society and events at other universities, we believe that this could result in occurrences of inappropriate behaviour at UU. Such occurrences are unacceptable at our organisation and it is vital that the risk of such situations be minimised.

*List of actions: actions 9*

**Theme 2: Recruitment and selection**

**Principle 16. Judging merit**
The opening of the 2019-2020 academic year was all about recognition and appreciation. In line with this theme, the Rector signed the Declaration on Research Assessment (DORA) on behalf of Utrecht University. Furthermore, a position paper entitled 'Room for everyone’s talent' was published by the Association of Universities in the Netherlands (VSN), the Netherlands Federation of University Medical Centres (NFU), the Royal Netherlands Academy of Arts and Sciences (KNAW), the Netherlands Organisation for Scientific Research (NWO) and the Netherlands Organisation for Health Research and Development (ZonMW) in order to facilitate and reinforce the Recognition and Appreciation task force.

At the moment, career opportunities at Dutch universities still focus too much on individual research performance, positive evaluations and progress up the academic ladder. Too little attention is paid to cooperation and team performance despite many academics emphasising how essential teamwork is in order to achieve effective and successful research.
Furthermore, academic positions consist of more than just research alone; academics also teach, provide social impact and regularly perform management duties. These tasks should also be considered during evaluations and when assessing career opportunities. One problem in this regard is that people often find it easier to assess research results than teaching results or leadership skills.

**List of actions: actions 10-13**

**Principle 13. Recruitment (code)**
UU wants to support the faculties in attracting more international staff. It adheres to the OTM-R principles (checklist). On top of this, HR will launch an international recruitment and selection project consisting of desk research, case studies and a final advice to the faculties.

**List of actions: 14**

**Theme 3: Terms and conditions of employment and social security**

**Principle 24. Working conditions**
At Utrecht University, as at other Dutch universities, many staff must deal with heavy workloads. This issue has been on the agenda for a considerable time, and an effective solution to the problem remains elusive. Another issue affecting working conditions is the accessibility of buildings, as UU has many old buildings that are not always accessible to people with physical impairments. Furthermore, greater accessibility is required in relation to the provision of information, as the needs of people with visual impairments are not always considered during the development of websites.

**List of actions: actions 15 - 18**

**Principle 21. Postdoctoral appointments**
Finally, UU also operates a policy of temporary employment contracts for certain job categories. However, we have observed that, for postdocs, this does not always have the desired effect: postdocs often do not know how long they will be employed by UU and fewer development prospects are available to them.

**List of actions: actions 19**

**Theme 4: Training**

**Principle 39. Access to research training and continuous development**
Although a wide range of training opportunities are available within UU, we have observed that these opportunities are not equally accessible to all job categories. For example, lecturers with temporary employment contracts find it particularly difficult to actively work on their own professional development due to the limited time frame of their employment. Furthermore, a development budget is not always available for this group.

**List of actions: actions 20**

**2.3 Changes which may have or might influence the UU HR strategy**

**2.3.1. Changed priorities**
Since 2015, there has been a significant change in priorities at Utrecht University in relation to the issues of recruitment & selection, diversity & inclusion and public engagement.

In general, the greatest emphasis has been on recruitment & selection, which has had significant consequences for HR policy. This intensified focus, prompted by the need to effectively anticipate developments in the ever-scarcer job market, will ensure both a sufficient number of applications from suitable candidates and smooth and efficient running of the subsequent selection procedure. It is vital that the selected candidate be optimally suited to the position and that the decision be made as objectively as possible.
Greater attention has also been paid to the issue of diversity & inclusion within the recruitment & selection process. For example, achieving a more balanced male to female ratio in our academic and leadership roles has been prioritised.

Public engagement has been an important focus area since 2013 and a great deal of work has been conducted in this area ever since, although several the activities set up back then have changed form. For example, the Publi Prize has not been expanded, although the decision has been made to keep it in its current incarnation. Other activities have also been set up in order to expand the target audience of academic research. Besides simply telling people about science, these activities also focus on listening to non-academic perspectives and mutual exchange of knowledge and insights. This expansion of public engagement activities is a significant departure from the situation several years ago.

2.3.2. Changed circumstances which had an impact on the Utrecht University HR strategy
Circumstances have changed at both the national and EU level and this has had an impact on Utrecht University's HR strategy.

Source: https://intranet.uu.nl/system/files/strategic_plan_utrecht_university.pdf

- National: Van Rijn Report
  The Ministry of Education, Culture and Science has decided to implement a substantial redistribution of educational funding between institutions, generally in favour of natural sciences and technology. This also applies to UU and

- National: Public Servants (Standardisation of Legal Status) Act
  On 1 January 2020, the Public Servants (Standardisation of Legal Status) Act (Wet Normalisering Rechtspositie Ambtenaren) came into force. The main consequence of this Act is that the legal employment rights of civil servants will become equal to those of employees in the private sector. It stipulates that employees of public universities who are currently subject to public service law will soon lose their public-servant status, at which point the employment law as prescribed by the Dutch Civil Code will be applicable to them. This will affect employees working abroad, among other target groups. From 2020, due to the loss of public-servant status, different rules will apply for determining in which country the social security entitlements and tax liability are applicable.

- National: implementation of the Balanced Labour Market Act
  The Balanced Labour Market Act (Wet Arbeidsmarkt in Balans, WAB) came into force on 1 January 2020, enacting changes to the right of dismissal, the provisions on succession of fixed-term employment contracts and the entitlement to transition payments.
  The government's objective for the WAB is to narrow the gap between permanent employment and flexible employment as well as the gap between employees and freelancers. For example, it will make it more attractive for employers to offer permanent contracts. Flexible labour will be made more expensive due in part to a 5 percentage-point increase in unemployment insurance contributions.
  Source: https://www.personeelsnet.nl/bericht/dit-zijn-de-wijzigingen-voor-hr-in-2020

- National: public engagement & close regional bonds
  More than ever, universities must clearly demonstrate the relevance of their research to society. The contribution of fundamental, pioneering and applied research by Dutch universities to society is immense. As universities conduct these different types of research within a broad range of disciplines, they will make a substantial impact on society both in the present day and far into the future.
  https://www.vsnv.nl/en_GB/impact-on-society. UU has a national reputation for interdisciplinarity and has once again put this at the forefront of its strategic plan. In addition, a programme will be implemented for the purposes of public engagement.

- EU policy on teaching & learning
Teaching & learning is a vital focus of most higher education institutions, with particular emphasis on the following aspects:

- **lifelong learning**: the Netherlands is facing up to the difficult task of keeping its labour force up to date in the next century. Current expectations for the future are that citizens will work for longer and that technological developments will shake up the labour market substantially. For this reason, UU has devised a programme that will expand the range of education for professionals and make it more accessible;

- **professionalisation of lecturers**: in the Strategic Plan 2016-2020, UU declared its intention to invest in the further professionalisation of lecturers as well as in boosting appreciation of teaching and lecturing skills. The establishment of the Centre for Academic Teaching is one example of how these efforts will manifest themselves. Source: https://www.uu.nl/en/education/centre-for-academic-teaching

- **International: use of Big Data**
  Although Big Data creates a wealth of opportunities and possibilities for science, it also presents new challenges, particularly involving the storage, accessibility and security of data as well as legal (GDPR) and ethical issues relating to data use. The National Platform Open Science (NPOS) ensures that the Netherlands works towards achieving the ambitions specified in the plan.
  - 100% open access publications;
  - optimal reuse of research data;
  - appropriate evaluation and appraisal systems.

The current evaluation systems maintain the current ‘publish or perish’ culture. The following issues are under discussion:

- HR policy at research institutions;
- assessment of grant applications;
- the SEP research evaluation system.

As a result of these new challenges, UU has invested in the following (among other measures):

- appointment of a data protection officer: we are legally obliged to appoint a data protection officer who will monitor compliance with the GDPR and make recommendations. In addition, privacy officers will be appointed to provide advice to HR. Source: https://intranet.uu.nl/en/data-protection-officer;

- **National: diversity in academia**
  Growing attention is being paid to diversity and inclusion in the world of academia: diversity officers and diversity committees are being appointed, training courses are teaching staff to recognise their unconscious prejudices and diversity has been established as a criterion in the new national Standard Evaluation Protocol. https://www.uu.nl/en/organisation/diversity-and-inclusion-at-utrecht-university

### 2.3.3. Strategic decisions which may influence the Utrecht University action plan

UU is currently developing a new strategic plan that will be completed by summer 2020. The next Strategic Plan will be based on the current strategy, which means it will include important issues such as diversity & inclusion, sustainability and Open Science. The UU-wide strategy will also be strongly influenced by the 'Recognition and Appreciation' programmes and the UU's ambitions with regard to social impact (see 'public engagement and close regional bonds' above).
## 3. List of all actions

<table>
<thead>
<tr>
<th>Proposed actions</th>
<th>Gap principle(s)</th>
<th>Timing</th>
<th>Responsible unit</th>
<th>Indicator(s)</th>
<th>Current status</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Initial phase &amp; Interim assessment</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Communication about research activities and results: Expand the range of courses in science communication</td>
<td>9. Public engagement</td>
<td>Novembre 2013</td>
<td>Communications &amp; Marketing Office</td>
<td></td>
<td>completed</td>
<td>2015: Some 130 scientists in total have taken part in media training to learn how to communicate their message to the media and make research more accessible.</td>
</tr>
<tr>
<td>2. Communication about research activities and results: Expand the UU Publicity Prize. Also consider other outreach activities (e.g. activities in the new media and lobbying activities) in addition to measuring press performance alone.</td>
<td>9. Public engagement</td>
<td>2013, in preparation for award in January 2014</td>
<td>Communications &amp; Marketing Office</td>
<td></td>
<td>extended by introducing ‘Meet the professor’ and the National Science Weekend</td>
<td>2015: The C&amp;M Office has concluded that expansion of the Publicity Prize with other outreach activities (besides publications in popular magazines) is currently not opportune. There are no methods available yet to measure such activities and determining the weighting factor is rather difficult as well. The UU Publicity Prize will be retained in its current form.</td>
</tr>
<tr>
<td>3. Communication about research activities and results: Give publicity to those professionals who are actively engaged at the faculty level in science communication</td>
<td>9. Public engagement</td>
<td>June 2013</td>
<td>Communications &amp; Marketing Office</td>
<td></td>
<td>completed</td>
<td>2015: Each faculty pays attention to the societal impact of science communication by organising communication activities such as the valorisation theme days. Valorisation is expected to be explicitly discussed in the annual assessment and development discussions between researchers and supervisors.</td>
</tr>
<tr>
<td>4. Communication about research activities and results: Raise awareness among young scientists of the importance of science communication and of translating their research into something applicable to society at large (valorisation)</td>
<td>9. Public engagement</td>
<td>2013</td>
<td>Communications &amp; Marketing Office &amp; Valorisation Centre</td>
<td></td>
<td>completed</td>
<td></td>
</tr>
<tr>
<td>5. Guidelines to improve the assessment of ‘soft skills’ and ensure they are taken into consideration in the recruitment and selection process: Compile a checklist or guideline for selection interviews and ensure attention is paid to a wide range of competences</td>
<td>16. Judging merit</td>
<td>March 2014</td>
<td>Human Resources</td>
<td>extended by the pilot ‘Assessments for measuring competences’.</td>
<td></td>
<td>2015: The checklist has been distributed amongst HR Advisors. However, HR are under the impression that it is not being used very often. As HR has concluded that the checklist is not the correct instrument, a pilot with assessments has been introduced. Each assessment tests a broad range of competences. Following a pilot phase in 2019, the new instrument will be evaluated in 2020.</td>
</tr>
<tr>
<td>6. Sabbatical leave: Publicise the option to take sabbatical leave widely and identify any obstacles that may be hindering take-up in order to arrive at an action plan for promoting the use of sabbatical leave</td>
<td>24. Working conditions</td>
<td>June 2014</td>
<td>Human Resources</td>
<td></td>
<td>extended by faculties taking action against work pressure.</td>
<td>2015: Ample publicity has been given on the intranet to the option to sabbatical leave and the financial contribution to this leave. The number of people actually making use of sabbatical leave remains relatively limited. The reasons for this might include teaching obligations, work pressure and the limited number of substitute teachers. The faculties are taking action against work pressure.</td>
</tr>
<tr>
<td><strong>Renewal phase</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>
### Theme 1: Ethical and professional aspects

7. In 2019, UU launched the Open Science programme (www.uu.nl/openscience). The programme is coordinated by the Open Science Platform. There are four working groups: 1. Recognising and rewarding staff, 2. FAIR data and software, 3. Public engagement and 4. Outreach and Open Access. These groups are currently preparing their implementation plans. The Open Access plan aims to prepare scientists for Plan S. It will strive to achieve 100% Open Access by upscaling policy instruments such as funding and Taverne.

8. In addition to 2017’s Public Engagement programme, UU launched the Open Science programme in 2019 (www.uu.nl/openscience). The programme is coordinated by the Open Science Platform. There are four working groups: 1. Recognising and rewarding staff, 2. FAIR data and software, 3. Public engagement and 4. Outreach and Open Access. These groups are currently preparing their implementation plans. In 2017, UU introduced its Public Engagement programme. The aim of the programme is to connect public engagement and open science. This is a unique approach for the Netherlands that enhances the importance of these themes on the UU agenda. In 2020, the Public Engagement team proposed a prolongation of the programme based on the following gaps: 1. Structural professional support for researchers who want to engage a wide audience, 2. Structural support and appreciation, which will result in extra time for researchers to carry out public engagement activities, 3. Development of integral cooperation for a joint academic vision on societal impact, e.g. by developing an Engaging & Storytelling Academy (training, knowledge sharing), and 4. Establishment of an academic expertise group on public engagement and its impact.

9. UU will introduce projects to make sure that there is no discrimination against researchers in any way based on gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, or social or economic condition. This action results from societal developments, a national objective to recruit more women in top positions and the strategic choice to become an inclusive organisation. For these reasons, UU has launched a Diversity & Inclusion programme, which consists of three action lines:
   1. Firstly, the action line 'Equal treatment and inclusion' has resulted in training to prevent unconscious bias. Employees will be offered unconscious bias training to prevent discrimination during job interviews or annual assessment and development interviews.
   2. Secondly, the sub action line 'Inappropriate behaviour' of the same action line 'Equal treatment and inclusion' has resulted in training to prevent inappropriate behaviour. UU will introduce training to equip employees with skills to challenge inappropriate behaviour.

<table>
<thead>
<tr>
<th>Action Number</th>
<th>Description</th>
<th>Start Date</th>
<th>Responsible Unit</th>
<th>Status</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>Dissemination and exploitation of results</td>
<td>Q4, 2022</td>
<td>University Library</td>
<td>First results</td>
<td>new</td>
</tr>
<tr>
<td>9</td>
<td>Public engagement</td>
<td>Q1, 2024</td>
<td>Centre for Science and Culture in cooperation with Communications &amp; Marketing Office</td>
<td>Results on gaps 1-4</td>
<td>new</td>
</tr>
<tr>
<td>10</td>
<td>Non-discrimination</td>
<td>Q1, 2024</td>
<td>Human Resources</td>
<td></td>
<td>new</td>
</tr>
</tbody>
</table>

1. Unconscious bias training is available for employees. Specific attention is paid to recruitment and managers. Training will be continued in 2020-2021. 2. Moreover, UU will host a pilot workshop called 'Active Bystander' in 2020. This type of training gives employees the skills to challenge unacceptable behaviour. Training for employees will start in 2020 and will be evaluated in 2021. On top of this, HR is in the process of developing an online training for managers about inappropriate behaviour. This online training will be launched in 2020. Intercultural awareness training for staff will be continued and focus on specific target groups, such as managers and support staff. Training will be available for all employees and specific target groups will be invited.
3. Thirdly, UU will develop extra training to make staff more interculturally aware.

Theme 2: Recruitment and selection

10. In 2019, UU launched the Open Science programme (www.uu.nl/openscience). The programme is coordinated by the Open Science Platform. There are four working groups: 1. Recognising and rewarding staff, 2. FAIR data and software, 3. Public engagement and 4. Outreach and Open Access. These groups are currently preparing their implementation plans. Recognising and rewarding staff project: A pilot with assessments for all faculties will be introduced in 2020. The assessments are available for all vacancies within UU. Each assessment tests a broad range of competences, such as intelligence, competences (big five) and motivation. Following a pilot phase in 2020, the new instrument will be evaluated in 2021 on frequency of use, type of professions and satisfaction of recruiters.

<table>
<thead>
<tr>
<th>Action Number</th>
<th>Action Description</th>
<th>Expected Completion</th>
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</table>

11. In 2019, UU launched the Open Science programme (www.uu.nl/openscience). The programme is coordinated by the Open Science Platform. There are four working groups: 1. Recognising and rewarding staff, 2. FAIR data and software, 3. Public engagement and 4. Outreach and Open Access. These groups are currently preparing their implementation plans. Recognising and rewarding staff project: A task force set up by the Executive Board will start three pilots to develop new ways of recognising and rewarding staff. The task force is in the process of developing an instrument with indicators for the appreciation and rewarding of educational performance. This tool will help academics and their managers to determine development opportunities in various academic career phases and to reward educational achievement. In 2020, the task force will publicise this instrument more widely and make sure that these indicators are widely used. In addition, it will develop new Strategic HR Management training for managers.

<table>
<thead>
<tr>
<th>Action Number</th>
<th>Action Description</th>
<th>Expected Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>16. Judging merit (code)</td>
<td>Q4, 2022</td>
<td>Human Resources</td>
</tr>
</tbody>
</table>

12. In 2019, UU launched the Open Science programme (www.uu.nl/openscience). The programme is coordinated by the Open Science Platform. There are four working groups: 1. Recognising and rewarding staff, 2. FAIR data and software, 3. Public engagement and 4. Outreach and Open Access. These groups are currently preparing their implementation plans. Recognising and rewarding staff project: Start a pilot to introduce MERIT as an indicator. MERIT refers to Management, Education, Research, Impact, Team spirit. MERIT will be used as a basis for assessment.

<table>
<thead>
<tr>
<th>Action Number</th>
<th>Action Description</th>
<th>Expected Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>16. Judging merit (code)</td>
<td>Q1, 2024</td>
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</tr>
</tbody>
</table>
13. In 2019, UU launched the Open Science programme (www.uu.nl/openscience). The programme is coordinated by the Open Science Platform. There are four working groups: 1. Recognising and rewarding staff, 2. FAIR data and software, 3. Public engagement and 4. Outreach and Open Access. These groups are currently preparing their implementation plans. Recognising and rewarding staff project: UU will review and expand the range of indicators that lead to promotion.

14. UU wants to support the faculties in attracting more international staff. It adheres to the OTM-R principles (checklist). On top of this, HR will launch an international recruitment and selection project consisting of desk research, case studies and a final advice to the faculties.

**Theme 3: Terms and conditions of employment and social security**

15. The number of people actually making use of sabbatical leave remains relatively limited. One of the reasons is work pressure. In 2018, HR and the faculties introduced a project to reduce work pressure. The impact of this project has yet to be measured. In addition, the International Service Desk will explore the possibilities for a sabbatical leave regulation and will provide operational management coordinators with more information.

16. The Studying Without Limitations Platform has mapped accessibility issues in existing buildings. Over the next years, these issues will be remedied wherever possible. Other improvements will be made based on organisational changes. New buildings will be constructed based on the principles of the Dutch Integral Accessibility Standard (https://www.pbtconsult.nl/guidelines).

17. As digital accessibility is a priority for UU, it launched a project in 2020 called ‘Digital accessibility’ (as part of the Diversity & Inclusion action line ‘Equal Treatment and Inclusion’). This project aims to make websites and apps as accessible as possible for all users with a physical impairment. Having collected points for improvement prior to 2020, the next step for the C&M Office is to have an independent agency test each UU website on accessibility. All points for improvement will be used in the implementation of a new UU website content management system.
18. Following the recommendations of the work pressure report, UU has introduced new actions to lower work pressure:

1. Employee survey: UU will conduct an employee survey every two years to ask staff for feedback on various themes. The faculties will use this survey to try to identify issues based on faculty-specific priorities.

2. Vitality programme: Fit4UU is UU’s vitality programme. 2020 will see the introduction of a Fit4UU pilot edition in English, with a slightly adapted programme. The programme sets staff work on their personal vitality. Themes that will be addressed include nutrition, mental fitness, dealing with daily stress and other types of stress, and investigating application in practice: turning knowledge into action.

3. Long-term unemployed: In 2018, UU launched a project to create jobs for people with physical impairments. Their support will to lower work pressure on staff.

4. Sustainable employability: UU wants its staff to be employable until their old-age pension date and offers various types of development opportunities.

5. Temporary teaching contracts: In 2019, UU decided to award new temporary staff a four-year contract with a teaching load of at least 0.7 FTE. This way, there is less of a need to hire new temporary staff. The term of employment of current temporary staff will be extended, resulting in a reduced need to invest in training new colleagues.

6. Performance-based contract: On 1 July 2017, UU launched a three-year pilot programme based on the agreements in the Collective Labour Agreement for Dutch Universities (Article 4.5). A performance-based contract, which is also known as a function contract or output-based contract, is based on agreements about the employee’s results and not their time investment or - to a certain extent - attendance. As a result, employees with a performance-based contract have a wider scope to organise their own workload. These contracts therefore contribute to a better work-life balance. At the end of the three years, the pilot will be evaluated, and a decision will be made on a possible adjustment of its underlying principles. UU will evaluate whether these actions lowered work pressure in 2024.

19. UU will look into suitable support for postdoctoral researchers. The project will focus on clear terms of contract and development opportunities.

Theme 4: Training
20. UU believes it is important to support all employees in their professional development. Because it is more difficult for temporary lecturers to access development opportunities, UU invests in their career and professional development by offering development opportunities specific to temporary lecturers. These development opportunities focus on three themes: Didactics, General skills and Career development.

| 39. Access to research, training and continuous development | Q4, 2020 | Overview of development possibilities for temporary teachers. | new | Temporary staff are awarded a four-year contract with a teaching load of at least 0.7 FTE. More development possibilities will be published and created. |
4. Implementation

The implementation process in general:

- HR corporate offices has been overseeing the implementation process.
- Two policy advisors are made responsible for HRS4R at UU.
- Utrecht University has appointed a steering group consisting of the Director of Human Resources and the heads of HR.
- Together with the central HR office and led by the Director of HR, these teams combine to form the HR Department.
- The research community is an integral part of the HR Departmental Plan. This plan, the internationalisation programme plan and the plan for the Diversity & Inclusion programme are all in line with the UU Strategic Plan, which was formulated in consultation with the research community. In short: our HR policy is formulated in close consultation with the research community. Research Department we organise gatherings to inform about HRS4R.
- The activities were determined in close consultation with the Director of HR and the heads of HR and coordinated with the Executive Board. These parties commission the implementation, execution and results of the various proposed activities.
- The activities were also determined in close consultation with our Research Department, our Communications & Marketing Office, the Valorisation Centre and our University Library

4.1. Supervision of progress by the steering group

Utrecht University has appointed a steering group consisting of the Director of Human Resources and the heads of HR. The Human Resources department is divided into separate teams of HR advisers for each faculty/unit, each of which is led by a head of HR. Together with the central HR office and led by the Director of HR, these teams combine to form the HR Department. HR policy has been established by the steering group via the HR Departmental Plan for 2017-2020. The Director and the heads of HR discuss the progress of this UU-wide HR policy during bimonthly meetings. Committees or programme managers have been appointed for each pertinent theme (such as D&I) in order to monitor progress.

4.2. Involvement of the research community in the implementation process

The research community is an integral part of the HR Departmental Plan. This plan, the internationalisation programme plan and the plan for the Diversity & Inclusion programme are all in line with the UU Strategic Plan, which was formulated in consultation with the research community.

4.3. Alignment of organisational policies with the HRS4R

UU’s organisational policy and research strategy is recorded in the UU Strategic Plan. The overarching HR policy stems from the UU Strategic Plan and is in line with the policy items in HRS4R.

4.4. Implementation of the proposed actions

The activities were determined in close consultation with the Director of HR and the heads of HR and coordinated with the Executive Board. These parties commission the implementation, execution and results of the various proposed activities.

4.5. Monitoring progress

The progress of the activities is measured in several ways. For example, every programme and project has its own timeline and an annual report is published outlining the progress of the policy and associated activities. However, quantitative monitoring of activities is not always possible and measuring impact is not always a simple process. The steering group will assess all indicators again in 2021.

4.6. Measuring progress (indicators) in view of the next assessment

In order to measure progress, the interim results will be compared to the desired end results. These results can be quantitative and/or qualitative. Depending on the line of action concerned, progress will be monitored by a designated staff member/team or – in the case of major lines of action – by a steering group.
Appendix: National legislation and national codes and university policies

<table>
<thead>
<tr>
<th>Legislation, codes and other relevant sources*</th>
<th>Abbreviation</th>
<th>Explanation and website</th>
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<tbody>
<tr>
<td>ABP pension rules</td>
<td>ABP</td>
<td>Employees at Dutch universities accrue pension with the ABP pension fund. The ABP is the pension fund for government and education sector employees. It ensures an income after retirement, incapacity for work or death. <a href="https://www.abp.nl/english/">https://www.abp.nl/english/</a></td>
</tr>
<tr>
<td>AcademicTransfer</td>
<td>AT</td>
<td>All Dutch universities are members of the AcademicTransfer job bank for academics. AcademicTransfer is a cooperative whose members (Dutch universities, university medical centres and research institutions) have committed to publishing all their academic vacancies on the AcademicTransfer website. In recent years, their offer has been supplemented with vacancies posted by the business community, where academic talent is equally in demand. <a href="https://www.academictransfer.com/en/">https://www.academictransfer.com/en/</a></td>
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<tr>
<td>Science and Society Action Plan (European Commission)</td>
<td>SASAP</td>
<td>The Action Plan was drawn up to strengthen the ties between the public, academics and policymakers. Among other things, the Plan contains initiatives to involve the public more closely in academic research. <a href="https://ec.europa.eu/research/swafs/pdf/pub_gender_equality/ss_ap_en.pdf">https://ec.europa.eu/research/swafs/pdf/pub_gender_equality/ss_ap_en.pdf</a></td>
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<tr>
<td>General Old Age Pensions Act</td>
<td>AOW</td>
<td>The AOW is the Dutch government’s basic pension scheme. After they have reached the state pension age, employees receive AOW payments from the Social Insurance Bank until the moment of their death. <a href="https://wetten.overheid.nl/BWBR00002221/2019-01-01">https://wetten.overheid.nl/BWBR00002221/2019-01-01</a></td>
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<tr>
<td>Equal Treatment Act</td>
<td>AWGB</td>
<td>The Equal Treatment Act stipulates a number of basic rules to protect against discrimination on the grounds of religion, personal beliefs, political leanings, race, gender, nationality, sexual preference or civil status. <a href="https://wetten.overheid.nl/BWBR00006502/2015-07-01">https://wetten.overheid.nl/BWBR00006502/2015-07-01</a> Following the adoption of the Equal Treatment Act, the Equal Treatment Commission was set up. This was an independent, national body that supervised compliance with its verdicts and gave advice and information about equal treatment. The Commission has since evolved into the Netherlands Institute for Human Rights. <a href="https://www.mensenrechten.nl/nl/netherlands-institute-human-rights">https://www.mensenrechten.nl/nl/netherlands-institute-human-rights</a></td>
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<tr>
<td>Working Conditions Act</td>
<td>Arbowet</td>
<td>This Act outlines the rules that employers and employees must comply with to safeguard and promote occupational health, safety and well-being. <a href="https://wetten.overheid.nl/BWBR0010346/2019-01-01">https://wetten.overheid.nl/BWBR0010346/2019-01-01</a></td>
</tr>
<tr>
<td>Working Hours Act</td>
<td>ATW</td>
<td>The Act stipulates the maximum number of working hours and minimum rest period for employees. The Working Hours Act enumerates the number of hours that employees may work and the rest period that must be observed within a specific period of time. It applies to everyone over the age of 18 who is in salaried employment, including temporary workers, those on secondment and interns. Additional rules apply to employees aged 16 and 17. <a href="https://wetten.overheid.nl/BWBR00007671/2018-01-01">https://wetten.overheid.nl/BWBR00007671/2018-01-01</a> <a href="http://www.arbeidstijdenwet.nl/">http://www.arbeidstijdenwet.nl/</a></td>
</tr>
<tr>
<td>Health and Safety Catalogue for Dutch Universities</td>
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<td>The Health and Safety Catalogue for Dutch Universities specifies how universities will meet government targets for a healthy and safe working environment. Within this context, a target is defined as a standard that businesses must comply with by law. <a href="https://www.vsnu.nl/files/documenten/CAO/2010-5065(c)_English_translation_ACNU.pdf">https://www.vsnu.nl/files/documenten/CAO/2010-5065(c)_English_translation_ACNU.pdf</a></td>
</tr>
<tr>
<td>Copyright Act</td>
<td>AW</td>
<td>The Copyright Act regulates Dutch copyright law. <a href="https://wetten.overheid.nl/BWBR0001886/2018-10-11">https://wetten.overheid.nl/BWBR0001886/2018-10-11</a></td>
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<tr>
<td>University Teaching Qualification</td>
<td>UTQ</td>
<td>Within the framework of the Association of Universities in the Netherlands (VSNU), the Dutch universities have agreed a quality mark for teaching staff. This University Teaching Qualification is proof of the expertise of teaching staff in university education. <a href="https://www.vsnu.nl/en_GB/utq">https://www.vsnu.nl/en_GB/utq</a></td>
</tr>
<tr>
<td>Netherlands Universities Enhanced Unemployment Scheme</td>
<td>BWNU</td>
<td>As of December 1999, the Dutch universities have been bound by their own regulations as regards unemployment, sick leave, incapacity for work and medical expenses. Such social security agreements are not specified in the CAO-NU, but in separate documents. In the event of termination of their employment, university employees are entitled to unemployment benefit. In some cases, they are also entitled to a supplementary benefit. The Enhanced Unemployment Scheme provides an overview of all relevant regulations. <a href="https://www.vsnu.nl/bwnu.html">https://www.vsnu.nl/bwnu.html</a></td>
</tr>
<tr>
<td>Collective Labour Agreement for Dutch Universities</td>
<td>CAO-NU</td>
<td>The VSNU and employees’ organisations periodically renegotiate the terms and conditions of employment for university employees. The terms and conditions of employment cover such topics as salary, leave, pension and social security. The terms and conditions of employment agreed with the</td>
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<tr>
<td><strong>Talent to the Top Charter</strong></td>
<td>CTNTT</td>
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<td>The Talent to the Top Charter consists of a guideline and a number of clear agreements for a focused approach to achieving sustainable and effective results. The progress of organisations is assessed annually with the aid of six criteria. The CTNTT also supports organisations in improving diversity and inclusivity by holding consultations.</td>
<td><a href="https://talentaardetop.nl/en/charter-talent-top">https://talentaardetop.nl/en/charter-talent-top</a></td>
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<tr>
<th><strong>Competence profiles for Dutch universities (2016)</strong></th>
<th>CINU</th>
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<tbody>
<tr>
<td>The job profiles in the University Job Classification System (UFO) are linked to generic competence profiles. The competences for a particular job give an idea of the elements required in terms of knowledge, skills and conduct to be able to perform the related duties adequately. Competences do not affect the classification in the UFO of the actual duties themselves. The competence profiles have been elaborated to facilitate the recruitment, selection and development of employees. Conduct criteria, i.e. visible behaviour that allows one to assess whether the person being observed has the competence required, are listed for each competence.</td>
<td><a href="https://www.vsnu.nl/files/documenten/Vernieuwd%20Competentie%20Instrument%20Nederlandse%20Universiteiten%202016%20-%202019%20versie%202019.pdf">https://www.vsnu.nl/files/documenten/Vernieuwd%20Competentie%20Instrument%20Nederlandse%20Universiteiten%202016%20-%202019%20versie%202019.pdf</a></td>
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<tr>
<th><strong>Healthy Practices in the Dutch PhD System</strong></th>
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<tbody>
<tr>
<td>The quality of PhD research in the Netherlands is consistently high. Universities monitor the quality of their PhD research continuously. At the same time, the system as a whole faces a number of challenges, such as the growing number of Dutch and international doctoral candidates and the increasing relevance of data management, open science and social impact. This document provides a guideline for the future.</td>
<td><a href="https://www.vsnu.nl/en_GB/news-items/nieuwsbericht/507-universities-working-continuously-on-improving-doctoral-research-practices.html">https://www.vsnu.nl/en_GB/news-items/nieuwsbericht/507-universities-working-continuously-on-improving-doctoral-research-practices.html</a></td>
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<tr>
<th><strong>Recognition and reward of academics</strong></th>
<th>R&amp;R</th>
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<tr>
<td>Changes to the recognition and reward of academics: this should not only recognise their research efforts, but also their contributions to the education sector and the transfer of knowledge.</td>
<td><a href="https://www.vsnu.nl/files/documenten/Nieuwsberichten/Een_gezonde_praktijk_in_het_Nederlandse_promotiestelsel.pdf">https://www.vsnu.nl/files/documenten/Nieuwsberichten/Een_gezonde_praktijk_in_het_Nederlandse_promotiestelsel.pdf</a></td>
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<tr>
<th><strong>Code of Conduct for Using Personal Data in Research</strong></th>
<th>GGPWO</th>
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<tbody>
<tr>
<td>This code of conduct governs the processing of data regarding natural persons for the benefit of research carried out by academic staff at Dutch universities.</td>
<td><a href="https://www.vsnu.nl/en_GB/code-personal-data">https://www.vsnu.nl/en_GB/code-personal-data</a></td>
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<tr>
<th><strong>Code of Conduct for the Recruitment of Researchers (European Charter for Researchers)</strong></th>
<th>GRvO</th>
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<tbody>
<tr>
<td>This is a set of general principles and requirements specifying the duties, responsibilities and rights of researchers as well as their employers and/or financial backers.</td>
<td><a href="https://euraxess.ec.europa.eu/jobs/charter/code">https://euraxess.ec.europa.eu/jobs/charter/code</a></td>
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<tr>
<th><strong>University Job Classification System</strong></th>
<th>UFO</th>
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<tr>
<td>The UFO specifies the job profile (compact job description) and job level of all Dutch university employees.</td>
<td><a href="https://www.vsnu.nl/en_GB/job_classification_ufo.html">https://www.vsnu.nl/en_GB/job_classification_ufo.html</a></td>
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<tr>
<td>In this report, the Royal Netherlands Academy of Arts and Sciences (KNAW) recommended that academic researchers working in both the public and the private sector commit to a declaration of scientific independence in consultation with commissioning parties for all future publications.</td>
<td><a href="https://www.knaw.nl/nl/actueel/publicaties/wetenschap-op-bestelling">https://www.knaw.nl/nl/actueel/publicaties/wetenschap-op-bestelling</a></td>
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<tr>
<td>This report examined research data management practices in various academic fields and assessed whether these practices were sound.</td>
<td><a href="https://www.knaw.nl/nl/actueel/publicaties/responsible-research-data-management-and-the-prevention-of-scientific-misconduct">https://www.knaw.nl/nl/actueel/publicaties/responsible-research-data-management-and-the-prevention-of-scientific-misconduct</a></td>
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<td>This recommendation was published to clarify the correct reuse of previously published texts, ideas and research outcomes. It also specified an assessment framework to assist in the evaluation of real-life cases and for use as a teaching aid in the training of young academics. <a href="https://www.knaw.nl/en/news/publications/correct-citation-practice">https://www.knaw.nl/en/news/publications/correct-citation-practice</a></td>
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<tr>
<th>Women Professors Monitor</th>
<th>LNVH Monitor</th>
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<tr>
<td>The introduction of this monitor has led to universities setting targets for the number of women professors they employ. To this end, they have entered into several agreements with the Minister of Education, Culture and Science. The monitor provides an insight into the actual ratio of male to female professors in academia. <a href="https://www.lnvh.nl/monitor">https://www.lnvh.nl/monitor</a></td>
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<tr>
<th>Netherlands Board on Research Integrity</th>
<th>LOWI</th>
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<tr>
<td>The Netherlands Board on Research Integrity handles complaints about research integrity violations on appeal from the institutions where the violations are alleged to have occurred. It only handles cases appealed by an interested party, i.e. the complainant, the accused or the board of the institution or research organisation. The board of an institution or research organisation may also ask the LOWI for advice on a case before the board before the board itself gives its verdict. <a href="https://www.lnvh.nl/en/">https://www.lnvh.nl/en/</a></td>
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<tr>
<th>Netherlands Code of Conduct for Academic Practice (2014)</th>
<th>NGW</th>
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<tr>
<th>Netherlands Code of Conduct for Research Integrity (2018)</th>
<th>NGWI</th>
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<tr>
<td>Universities set great store by the integrity and ethical aspects of academic research. This is because monitoring and promoting research integrity is essential to the future of our universities. The Dutch universities are working together to ensure that researchers can and will abide by the standards for sound research practices. Moreover, the universities take research integrity violations very seriously. They are doing their utmost to prevent and detect fraud in order to ensure that everyone can rely on the integrity of academic research. <a href="http://www.vsnu.nl/files/documents/Netherlands%20Code%20of%20Conduct%20for%20Research%20Integrity%202018.pdf">http://www.vsnu.nl/files/documents/Netherlands%20Code%20of%20Conduct%20for%20Research%20Integrity%202018.pdf</a></td>
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<tr>
<th>Constitution of the Kingdom of the Netherlands</th>
<th>GW</th>
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<tbody>
<tr>
<td>The Constitution is the cornerstone of the Dutch rule of law. It stipulates a number of basic rules that apply throughout the Netherlands and that persons in the country must comply with. The Constitution also outlines the duties and organisation of the judiciary and the organisation of provincial and municipal government. <a href="https://www.wetten.overheid.nl/BWBR00001840/2019">https://www.wetten.overheid.nl/BWBR00001840/2019</a></td>
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<tr>
<th>Dutch Network for HR Professionals (NVP)</th>
<th>NVP Recruitment Code</th>
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<tr>
<td>The NVP Recruitment Code outlines the basic rules that industrial organisations and job applicants should observe during the recruitment and selection process. The aim of the Code is to offer a standard for a transparent and fair recruitment and selection procedure. The Code follows the entire process from the writing of the job specification to the employment of the new hire. It is in line with European legislation and regulations. The NVP Recruitment Code meets the requirements of the recruitment, selection and transparency principles of the Code of Conduct for the Recruitment of Researchers in full. <a href="https://www.nvp-hrnetwerk.nl/sollicitatiecode">https://www.nvp-hrnetwerk.nl/sollicitatiecode</a></td>
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<th>Open Access</th>
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<tr>
<td>The purpose of Open Access is to make publicly funded research available to all online. Open Access publications are easier to find, are cited more often and have a greater reach. Open Access benefits not only academia, but also society and the economy. <a href="https://www.openaccess.nl/en">https://www.openaccess.nl/en</a></td>
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<tr>
<th>Patents Act</th>
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<tbody>
<tr>
<td>This Act regulates all matters involving patents. <a href="https://wetten.overheid.nl/BWBR00007118/2019-02-01">https://wetten.overheid.nl/BWBR00007118/2019-02-01</a></td>
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<tr>
<th>Advanced University Teaching Qualification</th>
<th>Advanced UTQ</th>
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<tr>
<td>Universities have taken steps towards the gradual introduction of an Advanced University Teaching Qualification as of the 2012–2013 academic year in order to stimulate the professionalisation and educational leadership skills of teaching staff. This differs per university.</td>
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<tr>
<th>Sector Regulation on Ancillary Activities</th>
<th>SRN</th>
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<tr>
<td>This report contains an overview of the state of affairs regarding professors’ ancillary activities. <a href="https://www.vsnu.nl/en_GB/professorsancillaryactivities.html">https://www.vsnu.nl/en_GB/professorsancillaryactivities.html</a></td>
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<tr>
<th>Standard Evaluation Protocol</th>
<th>SEP</th>
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<tr>
<td>The KNAW, VSNU and Netherlands Organisation for Scientific Research (NWO) have jointly adopted the Standard Evaluation Protocol 2015–2021 for the assessment of academic research. The Protocol is suitable for the assessment of a wide range of research aspects, including researcher training. The SEP offers guidelines for the evaluation and improvement of both research and research policy. <a href="https://www.vsnu.nl/en_GB/sep-eng.html">https://www.vsnu.nl/en_GB/sep-eng.html</a></td>
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<tr>
<td>Act</td>
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<tr>
<td>General Data Protection Regulation (Implementation) Act</td>
<td>UAVG</td>
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<td>EU Directive 1999/70/EC Implementation Act</td>
<td>UEUR</td>
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<td>Knowledge transfer</td>
<td>Val.</td>
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<td>Unemployment Insurance Act</td>
<td>WW</td>
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<td>Work and Care Act</td>
<td>WAZO</td>
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<td>Flexible Working Act</td>
<td>WFW</td>
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<td>Equal Treatment (Men and Women) Act</td>
<td>WGB</td>
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<td>Equal Treatment of Disabled and Chronically Ill People Act</td>
<td>WGBHZ</td>
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<tr>
<td>Equal Treatment in Employment (Age Discrimination) Act</td>
<td>WGBLA</td>
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<td>Medical Research (Human Subjects) Act</td>
<td>WMO</td>
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<td>Equal Treatment (Working Hours) Act</td>
<td>WOA</td>
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<td>Experiments on Animals Act</td>
<td>WOD</td>
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<td>Higher Education and Research Act</td>
<td>WHW</td>
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<tr>
<td>Works Councils Act</td>
<td>WOR</td>
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<tr>
<td>Work and Income (Capacity for Work) Act</td>
<td>WIA</td>
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<tr>
<td>Sickness and Disability Scheme for Dutch Universities</td>
<td>ZANU</td>
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*Please click on the links for a further explanation of the legislation, CAO-NU and national codes.*
<table>
<thead>
<tr>
<th>Principle</th>
<th>Legislation and CAO-NU</th>
<th>National codes and university policies</th>
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<tbody>
<tr>
<td></td>
<td>Higher Education and Research Act Article 1.6: Academic freedom</td>
<td>NGWI (2018) Principle 4: Independence (page 13). Independence means, among other things, not allowing the choice of method, the assessment of data, the weight attributed to alternative statements or the assessment of others' research or research proposals to be guided by non-scientific or non-scholarly considerations (e.g. those of a commercial or political nature)...</td>
</tr>
<tr>
<td>2. Ethical principles</td>
<td>Higher Education and Research Act Article 1.7: Ethics guidelines</td>
<td>NGW (2014) Principle 2: Reliability (page 7). Every academic practitioner supports and strengthens the fundamental reliability of science and scholarship through their own conduct. Academic practitioners conduct and report on their research and transfer their knowledge through teaching and publishing in a reliable manner...</td>
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<td>NGWI (2018) Principle 1: Honesty (page 13). Honesty means, among other things, reporting the research process accurately, taking alternative opinions and counterarguments seriously, being open about margins of uncertainty, refraining from making unfounded claims, refraining from fabricating or falsifying data or sources and refraining from presenting results more favourably or unfavourably than they actually are. Principle 2: Scrupulousness (page 13). Scrupulousness means, among other things, using methods that are scientific or scholarly and exercising the best possible care in designing, undertaking, reporting and disseminating research. Principle 3: Transparency (page 13). Transparency means, among other things, ensuring that it is clear to others what data the research was based on, how the data were obtained, what and how results were achieved and what role was played by external stakeholders. If parts of the research or data are not to be made public, the researcher must provide a good account of why this is not possible... Principle 5: Responsibility (page 13). Responsibility means, among other things, acknowledging the fact that a researcher does not operate in isolation and hence taking into consideration – within reasonable limits – the legitimate interests of human and animal test subjects, as well as those of commissioning parties, funding bodies and the environment. Responsibility also means conducting research that is scientifically and/or societally relevant.</td>
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<tr>
<td>Code of Conduct for Using Personal Data in Research</td>
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<td>KNAW letter and recommendation: Correct Citation Practice (2014)</td>
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<tr>
<th>3. Professional responsibility</th>
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<tr>
<td>GDPR (Implementation) Act (incl. data breach notification obligation)</td>
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<tr>
<td>In their scientific or scholarly activities, academic practitioners are led by no other interest than academic interest, and they are always prepared to account for their actions...</td>
</tr>
<tr>
<td>Scrupulousness means, among other things, using methods that are scientific or scholarly and exercising the best possible care in designing, undertaking, reporting and disseminating research.</td>
</tr>
<tr>
<td>Principle 5: Responsibility (page 13).</td>
</tr>
<tr>
<td>Responsibility means, among other things, acknowledging the fact that a researcher does not operate in isolation and hence taking into consideration – within reasonable limits – the legitimate interests of human and animal test subjects, as well as those of commissioning parties, funding bodies and the environment. Responsibility also means conducting research that is scientifically and/or societally relevant.</td>
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<tr>
<th>4. Professional attitude</th>
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<tbody>
<tr>
<td>Academic practitioners are honest and forthright about their research and its applications. Scientific and scholarly activities are performed scrupulously and should remain unaffected by the pressure to achieve...</td>
</tr>
<tr>
<td>Transparency means, among other things, ensuring that it is clear to others what data the research was based on, how the data were obtained, what and how results were achieved and what role was played by external stakeholders. If parts of the research or data are not to be made public, the researcher must provide a good account of why this is not possible...</td>
</tr>
<tr>
<td>KNAW recommendation: Science to Order. On the relationship between academic researchers and commissioning parties (2005)</td>
</tr>
</tbody>
</table>
| 5. Contractual and legal obligations | Collective Labour Agreement for Dutch Universities  
Chapter 1, Section 2: Obligations of the employer and the employee (Articles 1.15, 1.16, 1.19) (pages 17, 18).  
Chapter 1, Section 3: Intellectual property rights (Articles 1.20, 1.21, 1.22, 1.23) (pages 18, 19).  
Copyright Act  
Patents Act  
Higher Education and Research Act |  
|---|---|
| 6. Accountability | NGW (2014)  
Principle 3: Verifiability (page 8).  
Presented information is verifiable. Whenever research results are published, it is made clear what the data and conclusions are based on, from where they originate and how they can be verified...  
NGW (2018)  
Principle 1: Honesty (page 13).  
Honesty means, among other things, reporting the research process accurately, taking alternative opinions and counterarguments seriously, being open about margins of uncertainty, refraining from making unfounded claims, refraining from fabricating or falsifying data or sources and refraining from presenting results more favourably or unfavourably than they actually are.  
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| 7. Good practice in research | Working Conditions Act  
Medical Research (Human Subjects) Act  
Experiments on Animals Act  
General Data Protection Regulation (Implementation) Act |  
|---|---|
| | Code of Conduct for Using Personal Data in Research  
Health and Safety Catalogue for Dutch Universities |
| 8. Dissemination, exploitation of results | Collective Labour Agreement for Dutch Universities  
Article 6.6 Annual consultation: ... with regard to the way in which the employee is expected to perform or pursue his or her career during a future set period to be agreed upon, as well as the conditions under which this shall take place (page 51). | UFO  
4.6 Concrete work and result agreements (page 14)  
The result areas (and activities contained within them) have not been translated into concrete and measurable work agreements, as these can differ depending on the job holder. Consequently, the employee's superior needs to make agreements, expressed in concrete terms, with the employee on what is expected from him or her in the coming period...  
Open Access  
Knowledge transfer  
Sector Regulation on Ancillary Activities  
KNAW recommendation: Science to Order. On the relationship between academic researchers and commissioning parties (2005) |
| 9. Public engagement | | Science and Society Action Plan (European Commission) |
| 10. Non-discrimination | Constitution of the Kingdom of the Netherlands  
Article 1 Equal treatment  
Article 1 of the Constitution forms an important basis for the fight against discrimination. It spells out the principle of equality and the prohibition of discrimination. The article specifies that everyone shall be treated equally in equal circumstances (principle of equality) and that discrimination on the grounds of religion, personal beliefs, political leanings, race, gender or any other grounds whatsoever is not permitted (prohibition of discrimination).  
Collective Labour Agreement for Dutch Universities  
Article 6.1 Application procedure: When recruiting and selecting, the employer acts in accordance with the code of the Dutch Association for Staff Policies (page 50).  
Equal Treatment Act  
Equal Treatment [Men and Women] Act  
Equal Treatment [Working Hours] Act  
Equal Treatment of Disabled and Chronically Ill People Act  
Equal Treatment in Employment (Age Discrimination) Act | NVP Recruitment Code  
1. Principles (page 4)  
The applicant has a fair chance at appointment; this means equal opportunity for equal ability and the organisation will choose on the basis of suitability with respect to the position... |
| 11. Evaluation/ appraisal systems | Collective Labour Agreement for Dutch Universities  
Article 6.7 Assessment: A periodic assessment shall be carried out with regard to the way in which the employee has performed his duties and his behaviour during the performance of his duties (page 52). | Recognition and reward of academics  
SEP |
<table>
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<tr>
<th>Article 6.5a Tenure track: The following shall be stipulated in all procedures for a tenure track... (page 51).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Article 6.6 Annual consultation: With due observance of any further rules to be laid down by the employer [...], the employee will meet with his or her line manager at least once a year... (page 51).</td>
</tr>
</tbody>
</table>
| NVP Recruitment Code  
2. Recruitment (pages 4, 5).  
Should the organisation decide that a vacancy exists or will exist, it will prepare a recruitment profile in which the relevant details of the vacant position are set out... |
| AcademicTransfer  
Code of Conduct for the Recruitment of Researchers |
| **12. Recruitment** | Collective Labour Agreement for Dutch Universities  
Article 6.1 Application procedure: When recruiting and selecting, the employer acts in accordance with the code of the Dutch Association for Staff Policies (page 50). | | NVP Recruitment Code  
2. Recruitment (pages 4, 5).  
Should the organisation decide that a vacancy exists or will exist, it will prepare a recruitment profile in which the relevant details of the vacant position are set out... |
| AcademicTransfer  
Code of Conduct for the Recruitment of Researchers |
| **13. Recruitment (code)** | Equal Treatment Act | | NVP Recruitment Code  
2. Recruitment (pages 4, 5).  
Should the organisation decide that a vacancy exists or will exist, it will prepare a recruitment profile in which the relevant details of the vacant position are set out... |
| AcademicTransfer  
Code of Conduct for the Recruitment of Researchers |
2. Recruitment (pages 4, 5).  
Should the organisation decide that a vacancy exists or will exist, it will prepare a recruitment profile in which the relevant details of the vacant position are set out... |
| AcademicTransfer  
Code of Conduct for the Recruitment of Researchers |
| **15. Transparency (code)** | None | | NVP Recruitment Code  
2. Recruitment (pages 4, 5).  
The organisation will give the applicant clarity of the application procedure... |
| AcademicTransfer  
Code of Conduct for the Recruitment of Researchers |
| **16. Judging merit (code)** | None | | Competence profiles for Dutch universities  
From page 3 |
| **17. Variations in the chronological of CVs (code)** | None | | None |
| **18. Recognition of mobility experience (code)** | None | | None |
| **19. Recognition of qualifications (code)** | Collective Labour Agreement for Dutch Universities  
Article 3.5, paragraph 1: The employer determines the employee’s job profile, job level and the salary grade with due observance of the rules of the University Job Classification System (UFO), as stated in Appendix J, and the rules pertaining to career development as referred to in Article 6.5... (page 28).  
Article 6.5: The social policy of the institutions shall be aimed at promoting development opportunities and career prospects (page 50). | | UFO  
3.3 Classification criteria and classification rules  
The classification of a job is based on the actual responsibilities associated with the job in question.  
It must be possible to determine which job profile is applicable on the basis of the actual responsibilities... (page 14). |
Article 6.4: The employer can establish appointment criteria for the different job profiles of academic staff. The person involved must meet these criteria in order to be eligible for an employment contract (page 50).

Article 6.8: The employer shall see to it, following consultation with the doctoral candidate and in accordance with a customised plan for training and guidance set up for the doctoral assistant by the appointed mentor or supervisor...(page 52).

Article 6.9: ...to ensure the employee’s knowledge and skills meet the requirements of the employer (page 52).

Recognition of certificates awarded abroad

20. Seniority (code)

21. Postdoctoral appointments (code)

Collective Labour Agreement for Dutch Universities

Article 3.5, paragraph 1: The employer determines the employee’s job profile, job level and the salary grade with due observance of the rules of the University Job Classification System (UFO), as stated in Appendix J, and the rules pertaining to career development as referred to in Article 6.5...(page 28).

UFO

3.3 Classification criteria and classification rules

The classification of a job is based on the actual responsibilities associated with the job in question. It must be possible to determine which job profile is applicable on the basis of the actual responsibilities... (page 14).

22. Recognition of the profession

23. Research environment

Working Conditions Act

Chapter 2: Working conditions policy

Collective Labour Agreement for Dutch Universities

E.13 Approach to work pressure and long-term employability: All Dutch universities have now drawn up a work pressure reduction action plan. These plans take the local circumstances at the university into account and leave room for an implementation that is appropriate to the requirements and circumstances within departments and faculties... (page 101).

Health and Safety Catalogue for Dutch Universities

ABP pension rules

Recognition and reward of academics

24. Working conditions

Collective Labour Agreement for Dutch Universities

Chapters 3–7: The terms and conditions of employment are laid down in the Collective Labour Agreement for Dutch Universities. The salient chapters are the following: Working hours, holidays and leave (page 36), Individual choices model (page 45), Staff policy (page 49) and...
| 25. Stability and permanence of employment | Collective Labour Agreement for Dutch Universities  
Article 2.3:  
- Paragraph 1: The collective labour agreement specifies that the maximum term of a temporary employment contract for academic staff is six years (page 22).  
- Paragraph 7: The temporary employment contract may be followed by another temporary employment contract no more than twice (page 24).  
- Paragraph 9: Multiple contracts separated by an interruption of no more than six months count as uninterrupted employment (page 24).  
Appendix M: More career prospects and job security for junior lecturers and postdoctoral researchers (page 119).  
EU Directive 1999/70/EC Implementation Act |  
| 26. Funding and salaries | Collective Labour Agreement for Dutch Universities  
Article 3.5 (page 28),  
Article 3.8 (page 28),  
Article 3.10 (page 29),  
Article 7.1 (page 59),  
Article 7.2 (page 59),  
Article 7.3 (page 59),  
Article 7.6 (page 60).  
National social security legislation  
- Unemployment Insurance Act  
- Work and Income (Capacity for Work) Act  
- Exceptional Medical Expenses Act  
- General Old Age Pensions Act  
Sector-specific social security legislation  
- Sickness and Disability Scheme for Dutch Universities  
- Netherlands Universities Enhanced Unemployment Scheme | ABP pension rules |
| 27. Gender balance | Equal Treatment Act  
Equal Treatment (Men and Women) Act | Talent to the Top Charter |
| 28. Career development | Collective Labour Agreement for Dutch Universities  
Article 6.5, paragraph 2:  
The employer shall establish a career policy… (p.50). | NVH Monitor |
| 29. Value of mobility | Collective Labour Agreement for Dutch Universities  
Article 6.5, paragraph 1:  
… Mobility, both within and outside one’s own institution, is a vital aspect here  
(page 50). |
|----------------------|----------------------------------------------------------------------------------------------------------|
| 30. Access to career advice | Collective Labour Agreement for Dutch Universities  
Article 6.5, paragraph 3:  
Every employee with a temporary employment contract for a period of two years or longer, shall be given the opportunity to obtain career advice from a professional organisation…  
(page 50).  
Article 6.5, paragraph 4:  
Every employee with a permanent employment contract is entitled to career advice at least once every five years, to be completed with, if possible, consultation with an expert in the field of career development  
(page 50). |
| 31. Intellectual Property Rights | Copyright Act  
Patents Act  
Collective Labour Agreement for Dutch Universities  
Chapter 1, Section 3: Intellectual property rights  
Article 1.20 General  
Article 1.21 Obligation to report: paragraphs 1 and 2  
Article 1.22 Transfer and retention of rights  
Article 1.23 Reimbursements |
| 32. Co-authorship | Copyright Act  
Chapter 2 Author of the work, Section 4.  
Chapter 2 Author of the work, Section 7. |
| 33. Teaching | Collective Labour Agreement for Dutch Universities  
Article 6.5a Tenure track: The following shall be stipulated in all procedures for a tenure track…  
(page 51). |
| 34. Complaints/appeals | Collective Labour Agreement for Dutch Universities  
Article 1.12 Undesirable behaviour  
Article 1.13 Conscientious objections  
Please note that since the adoption of the Public Servants (Standardisation of Legal Status) Act, complaints and appeal procedures no longer form part of the collective labour agreement.  
Article E.1f Study into the possibility of having an ombudsman…  
The parties to the collective agreement will decide whether it would be desirable to include an |
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Source</th>
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| 35. Participation in decision-making bodies | Higher Education and Research Act  
Chapter 9,  
Chapter 11,  
Chapter 13.  
Works Councils Act                                                                                                                                    | Regulations for local consultations with employees' organisations                           |
| 36. Relation with supervisors                | Collective Labour Agreement for Dutch Universities  
Article 6.8: The employer shall see to it, following consultation with the doctoral candidate and in accordance with a customised plan for training and guidance set up for the doctoral assistant by the appointed mentor or supervisor, that this plan is forwarded to the doctoral assistant within 3 months of inception of the employment contract (page 52). | Healthy Practices in the Dutch PhD System                                                   |
| 37. Supervision and managerial duties        | Collective Labour Agreement for Dutch Universities  
Article 6.8: … the extent, in minimum hours per month, of personal guidance from the appointed mentor to which the doctoral candidate is entitled (page 52). |                                                                                             |
| 38. Continuing Professional Development      | Collective Labour Agreement for Dutch Universities  
Article 6.5 Career development (page 50),  
Article 6.5a Tenure track (page 51),  
Article 6.6 Annual consultation (page 51),  
Article 6.9 Training and development (page 52).                                                                                                      |                                                                                             |
| 39. Access to research training and continuous development | Collective Labour Agreement for Dutch Universities  
Article 6.5 Career development (page 50),  
Article 6.8 Doctoral candidate training and guidance plan (page 52),  
Article 6.9 Training and development, paragraph 4 (page 53),  
Article 6.9 Training and development, paragraph 5 (page 53).  
Preamble: More career prospects and job security for junior lecturers and postdoctoral researchers (page 9).  
Appendix M: More career prospects and job security for junior lecturers and postdoctoral researchers (page 119). | Advanced University Teaching Qualification                                                  |
| 40. Supervision                               | Collective Labour Agreement for Dutch Universities  
Article 6.8: … who shall act as mentor for the doctoral candidate, i.e. under whose supervision the doctoral candidate shall work and who shall be the promoter (page 52). |                                                                                             |

**Bron:** Sofokles, 2019