

HR EXCELLENCE IN RESEARCH INTERNAL REVIEW

February 2020



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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

Total researchers	3.123*
Of whom are international	875
Of whom are externally funded	182
Of whom are women	1.413
Of whom are R3 or 4 / professors and associate professors	366
Of whom are R2= postdoc level	800
Of whom are R1= in most organisations doctoral level (promovendi)	1759
Total number of students	31.801**
Total number of staff	2.561*

^{*} Excluding the University Medical Center Utrecht (UMCU)

1.2. Research funding

Total annual budget	855.576.000
Annual organisational direct government funding	495.730.000
Annual competitive government-sources funding	137.656.000
Annual funding from private, non-government	76.378.000
sources, designated for research	

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.

^{**} Including the Faculty of Medicine

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 (<u>Dutch code of conduct on academic integrity</u>) of 2018 lays down the principles for Honesty, Scrupulousness, Transparancy and responsibility.
- There is a national recruitment code, called <u>NVP Recruitment Code</u> which describes guidelines for transparency.
- The <u>Charter Talent to the Top</u> contains a guideline and 9 commitments for diverse talent.
- In 2019 the <u>Association of Universities in The Netherlands</u> published a paper about the Dutch system for promotion. The agreements described in this paper should establish that all promovendi 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 Knowlt-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 <u>Seed Fund</u>;
- 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
- 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 (VSNU), 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

Source: https://intranet.uu.nl/en/current-affairs/news/committee-van-rijn-report-presented

• 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.

Source: https://vsnu.nl/en-GB/public-servants--standardisation-of-legal-status--act- and https://intranet.uu.nl/en/wnra

• 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.vsnu.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.

Source: https://www.uu.nl/en/organisation/public-engagement-at-utrecht-university/what-is-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;
- investment in the Open Science programme https://www.uu.nl/en/research/open-science.

• 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

Proposed actions						
	Gap		Responsib			
Action	principle(s)	Timing	le unit	Indicator(s)	Current status	Remarks
Initial phase & Interim assessment						
			Communic			
			ations &			2015: Some 130 scientists in total have taken part in
1. Communication about research activities and results: Expand the	9. Public	Novemb	Marketing			media training to learn how to communicate their
range of courses in science communication	engagement	er 2013	Office		completed	message to the media and make research more accessible.
		2042 :			extended by	2015: The C&M Office has concluded that expansion of the
		2013 , in			introducing 'Meet the	Publicity Prize with other outreach activities (besides publications in popular magazines) is currently not
Communication about research activities and results: Expand the		preparat ion for	Communic		professor' and	opportune. There are no methods available yet to
UU Publicity Prize. Also consider other outreach activities (e.g.		award in	ations &		the National	measure such activities and determining the weighting
activities in the new media and lobbying activities) in addition to	9. Public	January	Marketing		Science	factor is rather difficult as well. The UU Publicity Prize will
measuring press performance alone.	engagement	2014	Office		Weekend	be retained in its current form.
Ob seeks a seeks						2015: The University Department of Press
						Communications and the Centre for Science
			Communic			Communication and Culture support researchers in finding
3. Communication about research activities and results: Give publicity			ations &			platforms to carry out their valorisation/communication
to those professionals who are actively engaged at the faculty level in		June	Marketing			activities. This includes publications, lectures, appearances
science communication	engagement	2013	Office		completed	at events, museum exhibitions, TV appearances.
			Communic			2015: Each faculty pays attention to the societal impact of
A. Communication should be a second and title and second as the Batter			ations &			science communication by organising communication
Communication about research activities and results: Raise awareness among young scientists of the importance of science			Marketing Office &			activities such as the valorisation theme days. Valorisation is expected to be explicitly discussed in the annual
communication and of translating their research into something	9. Public		Valorisatio			assessment and development discussions between
applicable to society at large (valorisation)	engagement	2013	n Centre		completed	researchers and supervisors.
applicable to observ at large (valorisation)					- Compileted	2015: The checklist has been distributed amongst HR
						Advisors. However, HR are under the impression that it is
					extended by	not being used very often. As HR has concluded that the
5. Guidelines to improve the assessment of 'soft skills' and ensure					the pilot	checklist is not the correct instrument, a pilot with
they are taken into consideration in the recruitment and selection					'Assessments	assessments has been introduced. Each assessment tests a
process: Compile a checklist or guideline for selection interviews and	16. Judging	March	Human		for measuring	broad range of competences. Following a pilot phase in
ensure attention is paid to a wide range of competences	merit	2014	Resources		competences'.	2019, the new instrument will be evaluated in 2020.
]			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.
6. Sabbatical leave: Publicise the option to take sabbatical leave					extended by	The reasons for this might include teaching obligations,
widely and identify any obstacles that may be hindering take-up in					faculties taking	work pressure and the limited number of substitute
order to arrive at an action plan for promoting the use of sabbatical	24. Working	June	Human		action against	teachers. The faculties are taking action against work
leave	conditions	2014	Resources		work pressure.	pressure.
Renewal phase						
nenewai pilase						

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	8.					
currently preparing their implementation plans. The Open Access	Dissemination					
plan aims to prepare scientists for Plan S. It will strive to achieve	and					
100% Open Access by upscaling policy instruments such as funding	exploitation of	Q4,	University			
and Taverne.	results	2022	Library	First results	new	
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			Centre for			
Public Engagement team proposed a prolongation of the programme			Science			
based on the following gaps: 1. Structural professional support for			and			
researchers who want to engage a wide audience, 2. Structural			Culture in			
support and appreciation, which will result in extra time for			cooperatio			
researchers to carry out public engagement activities, 3.			n with			
Development of integral cooperation for a joint academic vision on			Communic			
societal impact, e.g. by developing an Engaging & Storytelling			ations &			
Academy (training, knowledge sharing), and 4. Establishment of an	9. Public	Q1,	Marketing			
academic expertise group on public engagement and its impact.	engagement	2024	Office	Results on gaps 1-4	new	Action 2 has been extended and renamed Action 8.
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.						1. Unconscious bias training is available for employees.
This action results from societal developments, a national objective						Specific attention is paid to recruitment and managers.
to recruit more women in top positions and the strategic choice to						Training will be continued in 2020-2021. 2. Moreover, UU
become an inclusive organisation. For these reasons, UU has						will host a pilot workshop called 'Active Bystander' in
launched a Diversity & Inclusion programme, which consists of three						2020. This type of training gives employees the skills to
action lines:						challenge unacceptable behaviour. Training for employees
1. Firstly, the action line 'Equal treatment and inclusion' has resulted						will start in 2020 and will be evaluated in 2021. On top of
in training to prevent unconscious bias. Employees will be offered						this, HR is in the process of developing an online training
unconscious bias training to prevent discrimination during job						for managers about inappropriate behaviour. This online
interviews or annual assessment and development interviews.						training will be launched in 2020. Intercultural awareness
2. Secondly, the sub action line 'Inappropriate behaviour' of the same				Train chairmen of		training for staff will be continued and focus on specific
action line 'Equal treatment and inclusion' has resulted in training to				selection committees,		target groups, such as managers and support staff.
prevent inappropriate behaviour. UU will introduce training to equip	10. Non-	Q1,	Human	HR advisors and other		Training will be available for all employees and specific
employees with skills to challenge inappropriate behaviour.	discrimination	2024	Resources	relevant staff.	new	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	16. Judging	Q4,	Human	Evaluation of new		
recruiters.	merit (code)	2021	Resources	assessment instrument.	new	Action 5 has been extended and renamed Action 10.
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						In 2019, the Dean signed The Declaration on Research
will start three pilots to develop new ways of recognising and						Assessment (DORA). The position paper 'Room for
rewarding staff. The task force is in the process of developing an						everyone's talent: towards a new balance in recognition
instrument with indicators for the appreciation and rewarding of						and rewards for academics', published by the Association
educational performance. This tool will help academics and their						of Universities in the Netherlands and other institutions,
managers to determine development opportunities in various				Publicise the		indicates how UU aims to recognise and reward the work
academic career phases and to reward educational achievement. In				instrument with		of academic staff more broadly. This includes placing less
2020, the task force will publicise this instrument more widely and				indicators for		emphasis on the number of publications and a greater
make sure that these indicators are widely used. In addition, it will	16. Judging	Q4,	Human	performance more		emphasis on the other domains in which academics are
develop new Strategic HR Management training for managers.	merit (code)	2022	Resources	widely.	new	active, such as education and impact.
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,	16. Judging	Q1,	Human	Completion and		
Impact, Team spirit. MERIT will be used as a basis for assessment.	merit (code)	2024	Resources	evaluation of the pilot.	new	

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.	16. Judging merit (code) 13. Recruitment (code)	Q1, 2024 Q1, 2022	Human Resources Human Resources	Completion and review of range of indicators. Advice/report	new	
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.	24. Working conditions	Q1, 2024	Human Resources	Measurement of impact of Project Reduction Work Pressure. Evaluation of possibilities for new regulation.	new	Action 6 has been extended and renamed Action 15.
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).	24. Working conditions	Q1, 2024	Facilities Service Center in cooperatio n with Real Estate and Campus	Improvements made where possible and based on the Accessibility Standard.	new	In 2018, UU established the Studying Without Limitations Platform. One of its themes is accessibility for students and staff with disabilities. In recent months, the web pages of the individual buildings on UU's student and staff websites have undergone a makeover. On the new web pages, you can see at a glance how accessible a building is. For example, you can read more about the location of facilities such as accessible toilets and lactation rooms, contact information for assistance, and any less accessible spaces. UU encourages staff and students to report accessibility issues. RE&C will look at each report and try to find a suitable solution. RE&C will evaluate these actions in 2022.
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	24. Working	Q1,	Communic ations & Marketing	Implementation of a new accessible UU	TICW	actions in 2022.
website content management system.	conditions	2024	Office	CMS.	new	

18. Following the recommendations of the work pressure report, UU	l	1	I	İ	1]
has introduced new actions to lower work pressure:						
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 lets 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					1	
work pressure on staff.					1	
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				Measurement of		
will be made on a possible adjustment of its underlying principles.				impact of Project for		
UU will evaluate whether these actions lowered work pressure in	24. Working	Q1,	Human	Reduction of Work		
2024.	conditions	2024	Resources	Pressure.	new	
19. UU will look into suitable support for postdoctoral researchers.	21.	Q1,	Human	Overview of	new	UU will share policy and actions with other Dutch
The project will focus on clear terms of contract and development	Postdoctoral	2024	Resources	development	liew	universities in order to evaluate the employments
opportunities.	appointments	2024	Resources	possibilities for		conditions of postdoctoral researchers.
оррогинисэ.	(code)			postdoctoral		conditions of postdoctoral researchers.
	(couc)			researchers.		
				researchers.		
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	39. Access to					
career and professional development by offering development	research,			Overview of		
opportunities specific to temporary lecturers. These development	training and			development		Temporary staff are awarded a four-year contract with a
opportunities focus on three themes: Didactics, General skills and	continuous	Q4,	Human	possibilities for		teaching load of at least 0.7 FTE. More development
Career development.	development	2020	Resources	temporary teachers.	new	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

Legislation, codes and other relevant sources*	Abbreviation	Explanation and website
ABP pension rules	ABP	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. https://www.abp.nl/english/
AcademicTransfer	AT	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. https://www.academictransfer.com/en/
Science and Society Action Plan (European Commission)	SASAP	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. https://ec.europa.eu/research/swafs/pdf/pub_gender_equality/ss_ap_en.pdf
General Old Age Pensions Act	AOW	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. https://wetten.overheid.nl/BWBR0002221/2019-01-01
Equal Treatment Act	AWGB	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. https://wetten.overheid.nl/BWBR0006502/2015-07-01 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. https://www.mensenrechten.nl/nl/netherlands-institute-human-rights
Working Conditions Act	Arbowet	This Act outlines the rules that employers and employees must comply with to safeguard and promote occupational health, safety and well-being. https://wetten.overheid.nl/BWBR0010346/2019-01-01
Working Hours Act	ATW	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. https://wetten.overheid.nl/BWBR0007671/2018-01-01 https://www.arbeidstijdenwet.nl/
Health and Safety Catalogue for Dutch Universities		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. https://www.vsnu.nl/files/documenten/CAO/2010-5065(c) English translation ACNU.pdf
Copyright Act	AW	The Copyright Act regulates Dutch copyright law. https://wetten.overheid.nl/BWBR0001886/2018-10-11
University Teaching Qualification	UTQ	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. https://www.vsnu.nl/en-gB/utq
Netherlands Universities Enhanced Unemployment Scheme	BWNU	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. https://www.vsnu.nl/bwnu.html
Collective Labour Agreement for Dutch Universities	CAO-NU	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

		employees' organisations are listed in the Collective Labour Agreement for Dutch Universities. This document refers to the condensed version at https://www.labouragreementuniversities.nl/
Talent to the Top Charter	CTNTT	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 monitoring report provides an overview (in figures) of the latest developments as well as a set of benchmarks. The CTNTT also supports organisations in improving diversity and inclusivity by holding consultations. https://talentnaardetop.nl/en/charter-talent-top
Competence profiles for Dutch universities (2016)	CINU	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. https://www.vsnu.nl/files/documenten/Vernieuwd%20Competentie%20Instrument%20Nederlandse%20Universiteiten%202016%20-%20%20versie%202019.pdf
Healthy Practices in the Dutch PhD System		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. https://www.vsnu.nl/en-GB/news-items/nieuwsbericht/507-universities-working-continuously-on-improving-doctoral-research-practices.html https://www.vsnu.nl/files/documenten/Nieuwsberichten/Een-gezonde-praktijk in het Nederlandse promotiestelsel.pdf
Recognition and reward of academics	R&R	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. https://www.vsnu.nl/en_GB/news-items.html/nieuwsbericht/489-vsnu-nwo-nfu-en-zonmw-geven-impuls-aan-verandering-in-het-waarderen-en-belonen-van-wetenschappers
Code of Conduct for Using Personal Data in Research	GGPWO	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. https://www.vsnu.nl/en_GB/code-personal-data
Code of Conduct for the Recruitment of Researchers (European Charter for Researchers)	GRvO	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. https://euraxess.ec.europa.eu/jobs/charter/code
University Job Classification System	UFO	The UFO specifies the job profile (compact job description) and job level of all Dutch university employees. https://www.vsnu.nl/en_GB/job_classification_ufo.html
KNAW recommendation: Science to Order. On the relationship between academic researchers and commissioning parties (2005)	KNAW (2005)	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. https://www.knaw.nl/nl/actueel/publicaties/wetenschap-op-bestelling
KNAW recommendation: Responsible Research Data Management and the Prevention of	KNAW (2012)	This report examined research data management practices in various academic fields and assessed whether these practices were sound. https://www.knaw.nl/nl/actueel/publicaties/responsible-research-data-management-and-the-prevention-of-scientific-misconduct

Scientific Misconduct (2012)		
KNAW letter and recommendation: Correct Citation Practice (2014)	KNAW (2014)	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. https://www.knaw.nl/en/news/publications/correct-citation-practice
Women Professors Monitor	LNVH Monitor	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. https://www.lnvh.nl/monitor
Netherlands Board on Research Integrity	LOWI	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. https://lowi.nl/en/
Netherlands Code of Conduct for Academic Practice (2014)	NGW	The Netherlands Code of Conduct for Academic Practice was adopted by the Dutch universities on 1 January 2005. The code outlines the conduct expected of individual research practitioners at Dutch universities. https://www.vsnu.nl/files/documenten/Domeinen/Onderzoek/The Netherlands Code%20of Conduct for Academic Practice 2004 (version2014).pdf
Netherlands Code of Conduct for Research Integrity (2018)	NGWI	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. http://www.vsnu.nl/files/documents/Netherlands%20Code%20of%20Conduct%20for%20Research%20Integrity%202018.pdf
Constitution of the Kingdom of the Netherlands	GW	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 all 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. https://www.government.nl/documents/regulations/2012/10/18/the-constitution-of-the-kingdom-of-the-netherlands-2008 https://wetten.overheid.nl/BWBR0001840/2018-12-21
Dutch Network for HR Professionals (NVP)	NVP Recruitment Code	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. https://www.nvp-hrnetwerk.nl/sollicitatiecode
Open Access	OA	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. https://www.openaccess.nl/en https://www.vsnu.nl/en GB/openaccess-eng.html
Patents Act	ROW	This Act regulates all matters involving patents. https://wetten.overheid.nl/BWBR0007118/2019-02-01
Advanced University Teaching Qualification	Advanced UTQ	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.
Sector Regulation on Ancillary Activities	SRN	This report contains an overview of the state of affairs regarding professors' ancillary activities. https://vsnu.nl/en_GB/professorsancillaryactivities.html
Standard Evaluation Protocol	SEP	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. https://www.vsnu.nl/en_GB/sep-eng.html

General Data Protection Regulation	UAVG	This Act implements the General Data Protection Regulation. https://wetten.overheid.nl/BWBR0040940/2019-02-19	
(Implementation) Act		nttps://wetten.overneid.ni/bwbko040940/2019-02-19	
EU Directive 1999/70/EC Implementation Act	UEUR	This Act bans the making of a distinction in the terms and conditions of employment on the grounds of the permanent or temporary nature of the employment contract, unless such a distinction is objectively justifiable. As a result, a university's terms and conditions of employment apply to fixed-term and permanent employees equally. https://wetten.overheid.nl/BWBR0014195/2012-10-01	
Knowledge transfer	Val.	Knowledge transfer is the third core task of universities, in addition to research and teaching. Universities put this into practice daily in a variety of different ways. Knowledge transfer means that knowledge from all fields of academia is applied in both society and the economy. https://www.ysnu.nl/en_GB/knowledge-transfer.html	
Unemployment Insurance Act	WW	This Act ensures that employees are insured against the financial consequences of becoming unemployed. https://wetten.overheid.nl/BWBR0004045/2019-01-01	
Work and Care Act	WAZO	The WAZO regulates the right to various types of leave, such as parental leave and care leave. The purpose of the Act is to make it easier for employees to maintain a healthy work-life balance. https://wetten.overheid.nl/BWBR0013008/2019-01-01	
Flexible Working Act	WFW	This Act regulates changes to working hours. https://wetten.overheid.nl/BWBR0011173/2016-01-01	
Equal Treatment (Men and Women) Act	WGB	This Act stipulates the equal treatment of men and women. https://wetten.overheid.nl/BWBR0003299/2015-07-01	
Equal Treatment of Disabled and Chronically III People Act	WGBHZ	This Act stipulates equal treatment irrespective of disability or chronic illness. https://wetten.overheid.nl/BWBR0014915/2017-01-01	
Equal Treatment in Employment (Age Discrimination) Act	WGBLA	This Act stipulates equal treatment irrespective of an employee's age. https://wetten.overheid.nl/BWBR0016185/2015-07-01	
Medical Research (Human Subjects) Act	WMO	This Act was introduced to protect human subjects in medical research. https://wetten.overheid.nl/BWBR0009408/2018-08-01	
Equal Treatment (Working Hours) Act	WOA	This Act stipulates equal treatment irrespective of an employee's working hours. https://wetten.overheid.nl/BWBR0008161/2012-10-01	
Experiments on Animals Act	WOD	This Act stipulates measures to protect animal welfare. https://wetten.overheid.nl/BWBR0003081/2019-01-01	
Higher Education and Research Act	WHW	This Act regulates certain matters pertaining to higher education and research. Article 1.6 stipulates academic freedom for higher education institutions and university medical centres. https://wetten.overheid.nl/BWBR0005682/2019-02-01	
Works Councils Act	WOR	This Act regulates works councils. https://wetten.overheid.nl/BWBR0002747/2019-01-01	
Work and Income (Capacity for Work) Act	WIA	This Act is based on the principle that employees should be able to participate in the labour market to the best of their abilities, subject to an assessment of their capacity for work on a case-by-case basis. https://wetten.overheid.nl/BWBR0019057/2019-01-01	
Sickness and Disability Scheme for Dutch Universities	ZANU	This establishes the consequences of sickness absence or incapacity for work for an employee's salary and accrual of holiday and leave hours. The ZANU sets out the conditions for receiving full or partial leave. It also describes the rehabilitation procedure after a full or partial recovery. https://www.vsnu.nl/en_GB/zanu.html	

^{*}Please click on the links for a further explanation of the legislation, CAO-NU and national codes.

Principle	Legislation and CAO-NU	National codes and university policies
1. Research Freedom	Constitution of the Kingdom of the Netherlands	NGW (2014)
	Article 7: Freedom of speech	Principle 5: Independence (page 10).
		Academic practitioners operate in a context of academic freedom and independence. Where
	Higher Education and Research Act	restriction of that freedom cannot be avoided, this is clearly stated
	Article 1.6: Academic freedom	
		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)
2. Ethical principles	Higher Education and Research Act	NGW (2014)
	Article 1.7: Ethics guidelines	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
		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 F. Recognibility (nage 12)
		Principle 5: Responsibility (page 13). Responsibility magns, among other things, asknowledging the fact that a responsibility magns.
		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.

		Code of Conduct for Using Personal Data in Research
		KNAW recommendation: Responsible Research Data Management and the Prevention of Scientific Misconduct (2012)
		KNAW letter and recommendation: Correct Citation Practice (2014)
3. Professional responsibility	GDPR (Implementation) Act (incl. data breach notification obligation)	NGW (2014) Principle 4: Impartiality (page 9). 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 NGWI (2018) 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 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.
		Code of Conduct for Using Personal Data in Research
		KNAW recommendation: Responsible Research Data Management and the Prevention of Scientific Misconduct (2012)
4. Professional attitude		NGW (2014) Principle 1: Honesty and scrupulousness (page 5). 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
		NGWI (2018) 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
		KNAW recommendation: Science to Order. On the relationship between academic researchers and commissioning parties (2005)

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	
6. Accountability	Higher Education and Research Act	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 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 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
7. Good practice in	Working Conditions Act	parties, funding bodies and the environment. Responsibility also means conducting research that is scientifically and/or societally relevant. Code of Conduct for Using Personal Data in Research
<u>research</u>	Medical Research (Human Subjects) Act Experiments on Animals Act General Data Protection Regulation (Implementation) Act	Health and Safety Catalogue for Dutch Universities

8. Dissemination,	Collective Labour Agreement for Dutch Universities	<u>UFO</u>
exploitation of results	Article 6.6 Annual consultation: with regard to the way in which the employee	4.6 Concrete work and result agreements (page 14)
	is expected to perform or pursue his or her career during a future set period to be	The result areas (and activities contained within them) have not been translated into
	agreed upon, as well as the conditions under which this shall take place (page 51).	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
		<u> </u>
		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)
J. I ublic eligagement		Science and Society Action Flan (European Commission)
10. Non-discrimination	Constitution of the Kingdom of the Netherlands	NVP Recruitment Code
10. Non-discrimination	Article 1 Equal treatment	1. Principles (page 4)
	Article 1 Equal treatment Article 1 of the Constitution forms an important basis for the fight against	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
	discrimination. It spells out the principle of equality and the prohibition of	
	discrimination. The article specifies that everyone shall be treated equally in equal	position
	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 III People Act	
	Equal Treatment in Employment (Age Discrimination) Act	
11. Evaluation/appraisal	Collective Labour Agreement for Dutch Universities	Recognition and reward of academics
systems	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	SEP
	the performance of his duties (page 52).	
	I	

	Article 6.5a Tenure track: The following shall be stipulated in all procedures for a	
	tenure track (page 51).	
	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).	
12. Recruitment	Collective Labour Agreement for Dutch Universities	NVP Recruitment Code
12. Reciditiient	Article 6.1 Application procedure: When recruiting and selecting, the employer	2. Recruitment (pages 4, 5).
	1	" 3 ' '
	acts in accordance with the code of the Dutch Association for Staff Policies	Should the organisation decide that a vacancy exists or will exist, it will prepare a
	(page 50).	recruitment profile in which the relevant details of the vacant position are set out
		<u>AcademicTransfer</u>
		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
		<u>AcademicTransfer</u>
		Code of Conduct for the Recruitment of Researchers
14. Selection (code)	Equal Treatment Act	
15. Transparency (code)		NVP Recruitment Code
		2. Recruitment (pages 4, 5).
		The organisation will give the applicant clarity of the application procedure
16. Judging merit (code)		Competence profiles for Dutch universities
10. Judging ment (code)		From page 3
17. Variations in the	None	. 5
	None None	<u>None</u>
chronological of CVs		
(code)		
18. Recognition of mobility	<u>None</u>	<u>None</u>
experience (code)		
19. Recognition of	Collective Labour Agreement for Dutch Universities	<u>UFO</u>
qualifications (code)	Article 3.5, paragraph 1: The employer determines the employee's job profile, job	3.3 Classification criteria and classification rules
	level and the salary grade with due observance of the rules of the University Job	The classification of a job is based on the actual responsibilities associated with the job in
	Classification System (UFO), as stated in Appendix J, and the rules pertaining to	question.
	career development as referred to in Article 6.5(page 28).	It must be possible to determine which job profile is applicable on the basis of the actual
	action action in the desired to intrinsicion of inputs 20%.	responsibilities (page 14).
	Article 6.5: The social policy of the institutions shall be aimed at promoting	
	development opportunities and career prospects (page 50).	

	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 employee 5 knowledge and skills freet the employer (page 52).	
	Recognition of certificates awarded abroad	
20. Seniority (code)		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).
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		UFO 3.1. Job family. The UFO distinguishes between academic staff ('Education and Research' job family) and support staff (all other job families) (page 8). Recognition and reward of academics
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	Health and Safety Catalogue for Dutch Universities
	within departments and faculties (page 101).	
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	ABP pension rules

	T - : : : : : : : : : : : : : : : : : :	
	Pensions, social security and social services (page 59).	
	Working Hours Act	
	Work and Care Act	
	Flexible Working Act	
25. Stability and	Collective Labour Agreement for Dutch Universities	
permanence of	Article 2.3:	
employment	- 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).	
	33x Monais count as animen aprea employment (page 24).	
	Appendix M: More career prospects and job security for junior lecturers and	
	postdoctoral researchers (page 119).	
26.5 1: 1 1 :	EU Directive 1999/70/EC Implementation Act	
26. Funding and salaries	Collective Labour Agreement for Dutch Universities Article 3.5 (page 28),	ABP pension rules
	Article 3.8 (page 28), Article 3.8 (page 28),	
	Article 3.0 (page 29), 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	
	- <u>General Old Age Pensions Act</u>	
	Sector-specific social security legislation	
	- Sickness and Disability Scheme for Dutch Universities	
	- Netherlands Universities Enhanced Unemployment Scheme	
27. Gender balance	Equal Treatment Act	Talent to the Top Charter
	Egual Treatment (Men and Women) Act	NVH Monitor
28. Career development	Collective Labour Agreement for Dutch Universities	
	Article 6.5, paragraph 2:	
	The employer shall establish a career policy (p.50).	

	Preamble: More career prospects and job security for junior lecturers and	
	postdoctoral researchers (page 8).	
	Appendix M: More career prospects and job security for junior lecturers and	
	postdoctoral researchers (page 119).	
29. Value of mobility	Collective Labour Agreement for Dutch Universities	
23. Value of mobility	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	Copyright Act	Open Access
	<u>Copyright Act</u>	<u>Open Access</u>
<u>Rights</u>	Deboute Act	
	Patents Act	
	Collective Labour Agreement for Dutch Universities	
	Chapter 1, Section 3: Intellectual property rights (page 18):	
	Article 1.20 General (page 18),	
	Article 1.21 Obligation to report: paragraphs 1 and 2 (page 18),	
	Article 1.22 Transfer and retention of rights (page 19),	
	Article 1.23 Reimbursements (page 19).	
32. Co-authorship	Copyright Act	Recognition and reward of academics
	Chapter 2 Author of the work, Section 4.	
	Chapter 2 Author of the work, Section 7.	
33. Teaching	Collective Labour Agreement for Dutch Universities	UFO
33. Tederining	Article 6.5a Tenure track: The following shall be stipulated in all procedures for a	Jobs.
	tenure track (page 51).	3003.
	tenure track (page 31).	University Teaching Qualification
24 Constant	College of the Colleg	
34. Complaints/appeals	Collective Labour Agreement for Dutch Universities	LOWI
	Article 1.12 Undesirable behaviour (page 16),	
	Article 1.13 Conscientious objections (page 17).	
	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	
		1

	ombudsman for the staff at the universities in the CAO based on this evaluation	
	(page 98).	
35. Participation in	Higher Education and Research Act	Regulations for local consultations with employees' organisations
decision-making bodies	Chapter 9,	indications for local consultations with employees enganisations
accision maning searce	Chapter 11,	
	Chapter 13.	
	Chapter 13.	
	Works Councils Act	
36. Relation with	Collective Labour Agreement for Dutch Universities	
supervisors	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).	
37. Supervision and	Collective Labour Agreement for Dutch Universities	Healthy Practices in the Dutch PhD System
managerial duties	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	Collective Labour Agreement for Dutch Universities	
Professional Development	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	Collective Labour Agreement for Dutch Universities	Advanced University Teaching Qualification
training and continuous	Article 6.5 Career development (page 50),	
<u>development</u>	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).	
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