1. Introducing Radboud University
2. Towards HR-excellence
3. The approach (applied methodology)
4. Issues for improvement (gap analysis)
5. Improving HR-excellence (action plan)

Appendix A: Relevant laws and regulations (in Dutch)
Appendix B: Final report internal analysis (in Dutch)
1. Introducing Radboud University Nijmegen

Radboud University Nijmegen is a student-oriented research university. We focus on quality, combining excellent education with leading-edge research. While leaving scope for diversity, we concentrate on four of the five major academic domains: Arts & Humanities, Social Sciences, Natural Sciences and Life Sciences. For work in the fifth domain (Technical Sciences) – which is not one of our core competencies – we cooperate closely with colleagues at the University of Twente, Eindhoven University of Technology and Wageningen University & Research Centre. Furthermore, our academic expertise is closely connected to important societal issues, both in the public and in the private domain.

Key figures Radboud University Nijmegen (2011)

<table>
<thead>
<tr>
<th>Research staff:</th>
<th>Research output:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tenured</strong></td>
<td></td>
</tr>
<tr>
<td>Full Professors 167.7 fte</td>
<td>Dissertations 311</td>
</tr>
<tr>
<td>Associate Professors 77.5 fte</td>
<td>Scientific publications 6,044</td>
</tr>
<tr>
<td>Assistant Professors 181.4 fte</td>
<td>Professional publications 899</td>
</tr>
<tr>
<td>Researchers 112 fte</td>
<td>Annotations 213</td>
</tr>
<tr>
<td>Lecturers 3.9 fte</td>
<td>Patents 15</td>
</tr>
<tr>
<td><strong>Non-tenured</strong></td>
<td></td>
</tr>
<tr>
<td>Researchers 565.8 fte</td>
<td>Research input</td>
</tr>
<tr>
<td>Lecturers 8.9 fte</td>
<td>Contracts 664.8 fte</td>
</tr>
<tr>
<td>Doctoral candidates 939.1 fte</td>
<td>Research grants 616.3 fte</td>
</tr>
<tr>
<td></td>
<td>Core funding 775.1 fte</td>
</tr>
</tbody>
</table>

Our ambition

Research at the University is organized within dedicated research institutes. These are responsible for planning research as well as for training and supervising new generations of researchers. We aim to ensure that all research programmes within the institutes are internationally competitive and make a significant contribution to each discourse community. All research institutes and their programmes are subject to regular (1/6 yr) independent international peer review assessment. Thus, all research institutes and their programmes have evolved and improved in recent years. The quality of research has been further enhanced by close cooperation with partners who complement our expertise, such as the various Max Planck Institutes, the Fraunhofer Institutes and the Netherlands Foundation for Fundamental Research on Matter (FOM). We also regularly join forces with a large number of academic partner institutions worldwide.

Radboud University Nijmegen has the following faculties:
- Faculty of Philosophy, Theology and Religious Studies
- Faculty of Arts
- Faculty of Law
- Faculty of Social Sciences
- Nijmegen School of Management
- Faculty of Science
- Medical Centre (Faculty of Medicine and University Hospital)
Fundamental and applied research is carried out within specialized institutes:
Research Institute for Philosophy, Theology and Religious Studies
Institute for Historical, Literary and Cultural Studies
Research Centre of the Faculty of Law
Institute for Management Research
Nijmegen Institute for Social & Cultural Research
Centre for Language Studies
Behavioural Science Institute
Donders Institute for Brain, Cognition and Behaviour
Institute for Genetic and Metabolic Diseases
Research Institute for Oncology
Nijmegen Institute for Infection, Inflammation and Immunity
Nijmegen Centre for Evidence-Based Practice
Nijmegen Centre for Molecular Life Sciences
Institute for Water and Wetland Research
Institute for Molecules and Materials
Institute for Mathematics, Astrophysics and Particle Physics
Institute for Computing and Information Sciences

Our scientific profile

All research carried out at Radboud University Nijmegen already is or should soon become leading nationally and competitive internationally. Among the research topics, nine sub-disciplines have been identified in which the quality exceeds the generally high level of the rest of the University:
- Organic Chemistry
- Physics of Condensed Matter
- Astrophysics
- Microbiology
- Cognitive Neurosciences
- Infection and Immunology
- Human Genetics
- Linguistics
- Business and Law

Our societal themes

Much of the work done at the University is firmly embedded in important societal issues. Consequently, much of the research agenda is inspired by developments in and demands from society. As a result, we contribute significantly to achieving governmental objectives in relation to innovation. Our societal impact covers seven main themes:
- Europe’s “worlds”
- Language and communication
- Development of society and justice
- Behaviour and education
- Molecules and materials
- Water and wetlands
- Personalized medicine.
2. Towards Excellence in HR

Staff Policy

Radboud University seeks to be ranked as one of the top universities in Europe. To reach this goal, its research programme rankings must not fall below "very good" and its education programmes must continue to rank in the top 25% of universities in the Netherlands (Strategic Plan Objectives 2009-2013).

The university's staff policy is important to achieve its strategic objectives both by promoting the quality of employees and by creating conditions in which employees can perform to their optimum capacity.

In the coming years, the university's staff policy will focus more on the support of primary purposes. This means that particular attention will be paid to employees directly engaged in research and education or involved in the direct support of these processes.

In the immediate future, this staff policy will be aimed primarily at supporting leadership. Leadership functions as a "playmaker" between individuals and the organization. Leadership is the cement between the objectives of the university and the ambitions of individual employees. It is about effectively supporting individual employees and supervisors on a day-to-day basis.

The starting point for Radboud's staff and career progression policies is the 'principle of formation'. The career principle may, where appropriate, apply in individual cases and/or for specific job categories.

Staff policy is given shape by the symbiotic relationship between employee and supervisor. Both have a responsibility to make this interaction work. The policy's starting point is "work together unless", all the while recognizing and acknowledging the individual characteristics of the organizational units.

An effective staff policy requires: (1) focus on a few issues; (2) continuity in the issues selected; and (3) coherence, i.e., cohesion among the issues. Only a limited number of programmes incorporate the staff policy.

The university's long-term staff policy focuses on (1) leadership development; (2) employee development; and (3) organizational development.

Medical faculty staff is housed at the Radboud University Nijmegen Medical Centre (UMCN). The UMCN's staff policy and the Dutch Collective Labour Agreement for University Medical Centres (CAO Universitair Medische Centra) apply to these particular staff members.

HR Agenda

The strategic plan guides the staff policy. Staff policy is not only determined by strategic goals but also by current social developments, through everyday implementation of practices as well as developments in the field. The idea that strategic ambitions can be directly translated into HR practice is an oversimplification of reality.

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1 From: The Power of People: Radboud University's Strategic Plan for Staff Policy
2 Strategic Plan 2009-2013: Driven by Quality, Focused on the Future
Radboud University has recently opted to implement an HR Agenda that focuses on a set of common objectives for a two year period. These objectives are derived from the university’s strategic plan and take into account ongoing project activities.

Common objectives for years 2012-2013 are as follows:
  a. Management of indirect labour costs;
  b. Improvement of graduation success rates;
  c. Proactive recruitment of academic talent;
  d. Flexibility of support staff; and
  e. Implementation of the European Charter for Researchers.

The abovementioned objectives are consistent with corresponding academic issues:
  a. The need to reduce labour costs;
  b. The need to increase labour productivity;
  c. Increasing competition for scarce talent;
  d. Increasing dependence on other sources of funds; and
  e. Increasing the internationalization of academics.

Implementation of the European Charter for Researchers and the Code of Conduct for Researchers is therefore on the university’s 2012-2013 HR Agenda. A programme group led by the HR Director was responsible for an internal analysis and, based on this analysis, an implementation plan was drafted.

The approach has served as a pilot for a number of Dutch universities to gain experience with respect to internal analysis methodologies.

International Profile of the University

The labour market for researchers is an international one. The percentage of international academic researchers (of the total number of academic researchers) at Radboud University has grown steadily to a quarter of its labour force.\(^3\)

<table>
<thead>
<tr>
<th></th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>% FTE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-European Union</td>
<td>6.1%</td>
<td>91.6</td>
<td>7.0%</td>
<td>106.5</td>
<td>7.2%</td>
</tr>
<tr>
<td>European Union</td>
<td>11.2%</td>
<td>166.6</td>
<td>11.7%</td>
<td>177.9</td>
<td>12.1%</td>
</tr>
<tr>
<td>Netherlands</td>
<td>82.7%</td>
<td>1231.9</td>
<td>81.3%</td>
<td>1234.0</td>
<td>80.7%</td>
</tr>
<tr>
<td>Total percentage/FTE</td>
<td>100.0%</td>
<td>1490.0</td>
<td>100.0%</td>
<td>1518.3</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

The annual influx of foreign knowledge workers to Radboud University will continue to increase. The majority of the influx consists of non-Dutch PhD and Post Doc students.\(^4\)

<table>
<thead>
<tr>
<th></th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>% FTE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-European Union</td>
<td>10.1%</td>
<td>17.3%</td>
<td>13.1%</td>
<td>19.2%</td>
<td>17.6%</td>
</tr>
<tr>
<td>European Union</td>
<td>23.6%</td>
<td>22.8%</td>
<td>23.6%</td>
<td>29.0%</td>
<td>24.0%</td>
</tr>
<tr>
<td>Netherlands</td>
<td>66.4%</td>
<td>59.9%</td>
<td>63.4%</td>
<td>51.8%</td>
<td>58.5%</td>
</tr>
<tr>
<td>Total influx FTE:</td>
<td>203.3</td>
<td>210.3</td>
<td>209.8</td>
<td>208.2</td>
<td>257.4</td>
</tr>
</tbody>
</table>

\(^3\) Table excludes UMC as of 31 December
\(^4\) Annual influx excludes UMC
By implementing the European Charter for Researchers and the European Code of Conduct for the Recruitment of Researchers, Radboud expects to establish itself as an internationally attractive employer for researchers.

**Career Development of Researchers**

The university's long-term staff policy focuses on staff development (in addition to leadership and organizational development). Implementation of the Charter for Researchers and the Code of Conduct for the Recruitment of Researchers supports the career development of researchers.

Open and transparent recruitment processes ensure advertisement of vacancies to all candidates (both internal and external) and curtail underhanded appointments. Open and transparent recruitment and selection processes promote employment opportunities for researchers (particularly young ones) and mobility both within the university (internal mobility) and among universities (external mobility).

Radboud University is committed to open and transparent recruitment of academic researchers since it promotes and improves the quality of the academic labour force.
3. The Approach (Applied Methodology)

HRS4R

The "Human Resources Strategy for Researchers Incorporating the Charter & Code" (HRS4R) is a procedure designed to assist research institutes in the implementation of the Charter and Code of Conduct. Radboud University is participating in the second cohort of this European programme.

Participating in the HRS4R requires the university to endorse the Charter and Code principles. Through a letter dated 6 December 2005, Radboud University, upon request of the then Minister of Education, Culture and Science, responded positively to the Charter and Code of Conduct.5

The “Human Resources Strategy for Researchers” consists of five steps:

1. Internal Analysis: The research institute collaborates with those directly involved in an internal analysis in which the policies and practices of the institution are compared with the principles of the Charter and Code of Conduct.

2. Improvement Plan: Based on this internal analysis, the institution establishes an HR strategy for researchers and outlines it in an improvement plan. This document is then made public.

3. Acknowledgment: The analysis and improvement plan is reviewed by the European Commission. Completion entitles the institution to receive an official “HR Excellence in Research” acknowledgement.

4. Self-assessment: Every two years, the research institution performs a self-assessment to gauge the progress of the implementation of the Charter and improvement plan.

5. External Assessment: Every four years, an external assessment is conducted through a brief report from the research institution.

Document Analysis

A standard format may be used for the internal analysis (Step 1). The internal analysis must result in an improvement plan (Step 2).

There are two tracks to Radboud University's internal analysis:

1. An inventory of (legal) regulations relating to the various principles of the Charter and Code of Conduct (document analysis).


The HR Department carried out the document analysis (inventory of laws and regulations). The concern was whether or not certain matters were organized in accordance with the principles of the Charter and Code of Conduct.

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5 On 4 June 2007, the Association of Universities of the Netherlands informed the European Commission that Dutch universities endorsed the Charter and Code of Conduct.
The inventory of rules and regulations (see Annex) demonstrates that the principles in the Charter and Code have in large part been firmly established in the rules and regulations at Radboud. Nearly every principle of the Charter and Code of Conduct can be referenced in the relevant rules and regulations.

A significant portion of the rules and regulations also relate to rules and regulations that apply to all Dutch universities. It is therefore apparent that, given these commonalities, a single gap analysis should be carried out for all Dutch universities.

The document analysis discovered that three areas of the current rules need tightening (see next section).

Practice Analysis

Various methods may be used to perform internal analyses. We opted for a qualitative approach rather than a quantitative one (survey) as it allows greater opportunity for verification (what exactly is meant) and expounding (can you tell us more).

The practice analysis was carried out by researchers from the Institute for Applied Social Sciences and involved three steps:

1. Identifying potential areas for improvement with respect to the various principles of the Charter and the Code of Conduct through interviews with key people: research directors

2. Taking stock of suggestions for improvement about the various principles through (individual) focus discussions with researchers, managing directors and HR professionals.

3. Assessing the improvement agenda through an expert meeting with targeted initiators: business executives.

The sheer number (40 principles!) and level of abstractness (general descriptions that sometimes allowed for multiple interpretations) of the principles on the one hand, and the heterogeneity (significantly different faculties) of the university on the other, rendered this analysis challenging.

Interviews with Research Directors

During interviews, the complete list of 40 principles from the Charter and Code of Conduct was presented to six directors ("key persons") from six different faculty research institutes, which included all faculties except the medical faculty.

The list was abbreviated by two individuals (the interviewer and reporter). The question posed with respect to each principle was whether the principle was relevant to the research for which the research director was ultimately responsible. If this answer was affirmative then the following question was whether there was any room for improvement.

Research directors characterized the list of principles as either "detailed" (principles that allowed for specific discussion) or "general" (generally worded principles by which a respondent often began, "if what is meant by ... ").

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6 Human Resources Strategy for Researchers Incorporating the Charter and the Code: Internal Analysis Toolkit
7 The Institute for Applied Social Sciences (ITS) is a not-for-profit research institute affiliated with the University of Nijmegen.
The ITS specializes in applied social science research, in policy research and policy advice and evaluations.
8 The Medical Faculty was not part of the internal analysis as its staff are housed at the UMNC.
Ultimately, a list was established of the “Top 9” principles for which several research directors saw potential for improvement. This "Top 9" was then presented to the focus groups.

**Focus Group Interviews with Researchers, Managing Directors and HR Professionals**

The list compiled by the research directors was then submitted to three focus groups: researchers, managing directors, and HR professionals. They were asked to provide their own perspective and comments. The completed interviews (classified according to the principles mentioned) were also made available to participants as references.

Three questions were consistently posed to each participant: (1) are you able to identify with the picture that emerged following interviews with research directors? (If not, what additional areas can be identified for potential improvement and/or what areas should not be considered areas for potential improvement?); (2) what is your own practical experience in terms of potential improvement? and finally, (3) what are your suggestions for improvement?

The focus groups were led by two facilitators, the moderator-facilitator and the observer-reporter, with the aid of a ‘Group Decision Room’ (GDR).

The result of these focus groups was then presented to an Expert Meeting of business operations directors.

**Expert Meeting with Directors of Business Operations**

At the Expert Meeting, business operations directors were asked, based on provided improvement suggestions, what the improvement agenda should consist of.

At this point, the suggestions for improvement were grouped according to principle. As references, all 40 principles, the outcomes of interviews conducted with research directors and the outcomes of the focus group interviews (with the exception of the improvement suggestions) were appended. The source of the various improvement suggestions could therefore be revisited.

The Expert Meeting was conducted by two facilitators with the help of the GDR. The Expert Meeting outcomes provided input for the Improvement Plan.

**Improvement Plan**

The Improvement Plan brings planned legal and practical actions (more) in line with the principles of the Charter and Code of Conduct. The input for the Improvement plan comes from both the document analysis (inventory of rules and regulations) and the practice analysis (Expert Meeting outcomes).

The current Improvement Plan (Chapter 5) outlines actions to improve Radboud both institutionally and methodologically. Common laws and regulations that apply to all Dutch universities form the context of this institutional analysis. Additional specific improvements may be required at the faculty level.
4. Issues for Improvement (Gap Analysis)

There are two parts to Radboud’s internal analysis:


We focused more on methodology than we did on regulations.

1. The document analysis (see Annex) evinces a “profusion” of rules and regulations. Nearly every principle of the Charter and Code of Conduct can be referenced in the relevant rules and regulations.
2. Respondents (interviews, focus groups, Expert Meeting) expressly stated the need for less rather than more regulations. While paper can wait, practice is intractable.

Three generic problem areas emerged from the document analysis and may require regulation tightening:

1. Course Load (No. 33)

The size of the course load can compromise young researchers’ ability to carry out research. This is clearly at odds with the principle that education activities should not hinder researchers from carrying out their research activities, particularly when researchers are at the beginning of their careers.

2. Recognition of the Profession (No. 22)

All researchers engaged in a research career must be recognized as professionals and be treated accordingly. Some researchers are also non-salaried employees. Arrangements are often based on provisions of the Collective Labour Agreement of Dutch Universities (CAO); in principle, the CAO only applies to those employees with an employment contract (see definition of employee). Relevant rules must also explicitly be extended to non-salaried employees, such as PhD candidates and visiting professors.

3. Recruitment (No. 13)

With the exception of professors, associate professors and PhD candidates, internal candidates are given priority (unless the Executive Board specifically waives this priority) for reassignments/transfers and vacancy appointments at Radboud University. This priority is also extended to internal researchers. This priority may be contrary to the principle of open and transparent recruitment of researchers. Regulations with respect to priority should therefore be amended.

The internal analysis was focused on practice. Where is there improvement potential? The interviews with research directors designated nine university-wide principles from the Charter and Code of Conduct to be considered for improvement:

1. Dissemination and Exploitation of Results (No. 8)
2. Postdoctoral Appointments (No. 21)
3. Stability and Permanence of Employment (No. 25)

The number in parentheses refers to the number of the principle in the standard format.
11

4. Freedom of Research (No. 1)
5. Professional Demeanour (No. 4)
6. Gender Balance (No. 27)
7. Career Development (No. 28)
8. Intellectual Property Rights (No. 31)
9. Course Load (No. 33)

In focus group interviews with researchers, managing directors and HR professionals, various improvement suggestions were made regarding these principles. Additional improvement proposals for other principles from the Charter and Code of Conduct were also made.

Researchers called for improvement of the following complementary principles: Value of Mobility (No. 29) and Recruitment (No. 12). Managing directors put forward the following extra principles: Good Practice in Research’ (No. 7) and Evaluation and Appraisal Systems (No. 11). HR professionals, for their part, cited Assessment of Merits (No. 16) and Selection (No. 14).

The Expert Meeting with directors of business operations cited a number of principles for which an improvement programme could be compiled. Below is an overview of the principles. See Annex B for a list of improvement proposals for each principle.

1. Dissemination and Exploitation of Results (No. 8)

This principle yielded by far the most suggestions for improvement (13) during the Expert Meeting. Originally cited by research directors, this principle continued to be of import during the focus group interviews with researchers, although to a lesser extent. Those suggestions for improvement in encouraging and re-enforcing ‘open access’ and ‘better indication’ were most often cited.

2.a. Postdoctoral Appointments (No. 21)
2.b. Stability and Permanence of Employment (No. 25)
2.c. Career Development (No. 28)

Postdoctoral Appointments and Stability and Permanence of Employment are principles that are so closely related that it is difficult to treat them separately. Both principles are about ‘clear career prospects.’

The principles originally cited by research directors continued to be cited during both the focus groups and the Expert Meeting as a "close second" to the principle of Dissemination and Exploitation of Results.

What is striking is that the principle of Stability and Permanence of Employment was consistently lumped together with the principle of Postdoctoral Appointments. Also striking is that researchers mainly cited clarity and a sense of perspective. HR professionals and managing directors also highlighted clarity but HR professionals added personal responsibility for an academic/scientific career with respect to this principle.

The most oft cited suggestions for improvement with respect to the aforementioned principles were ‘clear career development or instruction’, ‘clear communication about (im)possibilities’, ‘high dynamism in mobility’ and ‘clearer post-doc policy.’

What follows from these clear improvement agenda items are a few points that have received fewer improvement suggestions.
3. Freedom of Research (No. 1)

After being proposed by the research directors, this principle received limited but steady attention in the focus groups. Six suggestions for improvements ultimately arose from the Expert Meeting. Of these, only “clear agreements and transparency” and “incentives” or “scope” were twice mentioned; the rest concerned “single” suggestions for improvement.

4. Gender Balance (No. 27)

It was not just the research directors' comments that were diverse. The focus group discussions also yielded varied responses, not least because of the huge differences in faculties. Six suggestions for improvements ultimately arose from the Expert Meeting. Of these, only “proceed,” “continue to monitor” and “culture” were mentioned twice.

5. Teaching (No. 31)

This principle, introduced by the research directors, yielded the most suggestions for improvements, particularly in the focus groups where this received the largest number of suggestions for improvement. Most striking was the oft recurring observation that if the core tasks of a university are education and research, this does not correspond to the (perceived) relative value between a professor and a researcher. Also applicable is the principle that the heterogeneity between the faculties is quite radical. Seven suggestions for improvements were eventually made in the Expert Meeting, of which “mandatory UKO/BKO” was cited three times (Basis Kwalificatie Onderwijs or Basic Teaching Qualification and Uitgebreide Kwalificatie Onderwijs or Extended Teaching Qualification).

The other principles that were pre-selected and discussed at the Expert Meeting (Professional Demeanour; Intellectual property rights; the Value of Mobility; Recruitment; Assessment of Merits; Good Practice in Research; and Evaluation and Appraisal Systems) ultimately yielded less suggestions for improvement: three or less.
5. Improving HR-Excellence (Action Plan)

The results of the internal analysis (see previous section) provided input for the Improvement Plan. The Improvement Plan was prepared by the HR Excellence in Research programme group.\(^\text{10}\)

The Improvement Plan was adopted by the Executive Board following consultations with faculty deans. The plan was submitted for comment to those involved in the internal analysis: research directors, researchers, managing directors, HR professionals, and faculty business operations directors.

There were two parts to Radboud's internal analysis:

1. An inventory of (legal) regulations relating to the various principles of the Charter and Code of Conduct (document analysis).

The Improvement Plan focused more on improving methodologies rather than tightening regulations. Respondents repeatedly stated that "paper can wait, practice is intractable," meaning more paper will not immediately solve the problem. In fact, quite the contrary is true.

The vast majority of the regulations in the Collective Labour Agreement applies to all Dutch universities and is therefore not specific to Radboud. Possible tightening of these regulations is primarily a matter for the joint initiative of Dutch universities.

The document analysis revealed that three areas of the current rules need tightening. These areas are mentioned below the heading of the relevant principles from the Charter and Code of Conduct\(^\text{11}\) to which they relate:

1. Course Load (No. 33)

Education and research are interrelated at the university. An excessive course load may compromise a student's ability to properly carry out research. This is clearly at odds with the principle that education activities should not hinder researchers from carrying out their research activities, particularly when researchers are at the beginning of their careers.

Radboud University's current system recognizes that a doctoral candidate requires three full years to complete his or her research. With the introduction of the education and supervision plan, it was determined that up to 25% of a PhD candidate's working hours could be spent on teaching and/or course attendance. This provision does not reflect special circumstances.

**Action Plan 1:** The Executive Board determines that PhD and post-doc students spend at least 75% of their working hours on research (relative time utilization). In principle, up to 25% of working hours are spent on education. Deviations may occur in individual cases if research results are not adversely affected.

2. Recognition of the Profession (No. 22)

All researchers engaged in a research career must be recognized as professionals and be treated accordingly. Some researchers are also non-salaried employees. Arrangements are

\(^{10}\) The HR Excellence in Research programme is one of the main areas of focus from the HR Agenda 2012-2013.

\(^{11}\) The number in parentheses refers to the sequence number of the principle in the standard form.
often based on provisions of the Collective Labour Agreement of Dutch Universities; in principle, the CAO only applies to those employees with an employment contract (see definition of employee).

A portion of the labour force consists of non-salaried employees (for example, visiting professors). Relevant rules must also explicitly be extended to non-salaried employees, such as PhD candidates and visiting professors.

**Action Plan 2:** The Executive Board determines that regulations that apply to salaried researchers should, in principle, also apply to non-salaried employees. The faculties register all non-salaried employees in the Staff Information System.

3. Recruitment (No. 13)

According to the Code of Conduct, recruitment procedures should be open, efficient and transparent. Radboud's regulations on reassignments/transfers and vacancy appointments have to be tightened to safeguard the principle of open and transparent recruitment.

The concept of open recruitment is not defined; a simple notice on the bulletin board suffices. Research vacancies and lectureships should be advertised and placed on the intranet for 10 days before being released for external recruitment. In practice, after the mandatory waiting period, both internal and external candidates are considered under the same criteria and procedures.

**Action Plan 3:** The Executive Board determines that all academic vacancies should be open to both internal and external candidates. Additionally, advertising the position on Academic Transfer has been specified as sufficiently open.

The internal analysis focused on practice. Where is there potential for improvement? The interviews with research directors designated nine university-wide principles from the Charter and Code of Conduct to be considered for improvement:

1. Dissemination and Exploitation of Results (No. 8)
2. Postdoctoral Appointments (No. 21)
3. Stability and Permanence of Employment (No. 25)
4. Freedom of Research (No. 1)
5. Professional Demeanour (No. 4)
6. Gender Balance (No. 27)
7. Career Development (No. 28)
8. Intellectual Property Rights (No. 31)
9. Course Load (No. 33)

These principles were mentioned by at least half of the research directors. In focus group interviews with researchers, managing directors and HR professionals, various improvement suggestions were made regarding these principles. The main improvement areas were identified during the Expert Meeting with directors of business operations. Seven principles with at least three suggestions for improvement were identified for the Improvement Plan.

1. Dissemination and Exploitation of Results (No. 8)
2. a. Postdoctoral Appointments (No. 21)
   b. Stability and Permanence of Employment (No. 25)
   c. Career Development (No. 28)
3. Freedom of Research (No. 1)
4. Gender Balance (No. 27)
5. Course Load (No. 33)

Most areas identified for improvement are related to the Dissemination and Exploitation of Results and to principles relating to "bright prospects." The Action Plan should therefore also focus most of its attention on these first four principles.

Pragmatic considerations motivated the selection of specific action plans for inclusion in the improvement agenda. The action plans must be, to a large extent, completed (including the self-evaluation) within two years (low hanging fruit).

1. Dissemination and Exploitation of Results (No. 8)

This Charter principle applies specifically to researchers. Knowledge valorization was recently added as a target in the job description of researchers. Knowledge valorization must also become a part of employees' mind sets.

**Action Plan 4:** The faculties make the development and transfer of knowledge a topic of discussion during annual meetings if it relates to new steps to be taken. In addition, agreements will be made between supervisor and researcher as to results to be achieved in the area of knowledge development and transfer for the coming year.

By signing the Berlin Declaration, Radboud University has agreed to support the major open access initiative to promote the dissemination of scientific knowledge and information and make that knowledge and information available on the internet. Open access is accomplished by:

- Submitting an author's version in the university repository.
- Traditional publishers provide opportunities for open access alongside a subscription model.
- Submitting papers to open access journals.
- Submitting a preprint to a preprint database.

**Action Plan 5:** The university and faculties encourage the open access of scientific knowledge and information so that all publications are openly available and accessible.

Science communication concerns the communicative aspects of science. Science communication is more than the transfer and availability of scientific knowledge. It also involves the supervising of the communication process, or the stimulation of public debate about scientific issues. Science communication has various objectives, comes in various forms and messages and is driven by various social motives.

**Action Plan 6:** A science communication module will be introduced to PhD candidates during the regular curriculum on offer at the university.

2. a. Postdoctoral Appointments (No. 21)
   b. Stability and Permanence of Employment (No. 25)
   c. Career Development (No. 28)

Radboud University recognizes a variety of instruments for career development. With young scientists in mind, PhD candidates and post-docs are given a career interview (following their annual appraisal interview) with a duly qualified supervisor within one year from the
beginning of their employment and no later than one year before the expiry of their employment term.

Eighty per cent of the (FTE) influx of scientific staff at Radboud University are PhD candidates and post-docs; the majority flows out again. Annually, only 5% of temporary academic staff positions (excluding PhD candidates) are converted into permanent academic positions. By increasing research project funding, the proportion of academic staff in temporary employment positions also increases.

The vast majority of PhD candidates and post-docs will find employment in industry. The university’s research programmes should therefore train students for careers in science and industry.

**Action Plan 7:** The faculties encourage executives to discuss career issues with their PhD candidates and post-docs. The supervisor and employee concerned are alerted by the Staff Information System when it is time to conduct a career interview. The HR Department provides information on alternative job prospects.

3. Freedom of Research (No. 1)

The Netherlands has a Code of Conduct for Scientists whose principles govern good practice for scientific research and education. The universities have undertaken (Preamble Article 9) to incorporate the Code in the training of future scientists (Research Master's and PhD programmes).

The Code has yet to be made part of the regular education and training of graduate students at Radboud. Such education is important to raise awareness of ethical issues in scientific research.

**Action Plan 8:** The University examines how the Code of Conduct for Scientists can be incorporated into scientific education and training of students and PhD candidates.

In addition to formal supervision (such as that established in the Education and Supervision Plan), there exists a social infrastructure to help "integrate" PhD candidates. A doctoral cohort connects PhD candidates are working on related projects more or less simultaneously. It provides mutual support and encouragement to finish the PhD, thus supporting the social involvement of these candidates.

**Action Plan 9:** Faculties and/or institutions focus their attention on the social integration of PhD candidates by promoting contacts and networks between peers.

4. Gender Balance (No. 27)

Activities the university has engaged in to increase the ratio of female professors have proven successful. Radboud University has the highest number of female professors of any university in the Netherlands (a fifth of its professors are female). Internationally speaking, however, Dutch universities lag far behind.

**Action Plan 10:** The mentoring and coaching programme designed to increase the ratio of women in senior positions (UMC included) will continue until at least 22% of the overall number of professors are women.

5. Teaching (No. 31)

This principle, introduced in the document analysis section, was raised because an
excessive course load can hinder a young researcher from carrying out his or her research activities. Emphasis is now being placed on teaching as a valuable career option for researchers.

It was agreed in the coalition agreement that at least 75% of permanent scientific teaching staff (at least 0.2% FTE) possess a Basic Teaching Qualification.

*Action Plan 11: Faculties shall ensure participation in the basic teaching training course so that at least 75% of permanent teaching staff are in possession of this basic qualification.*

Below is a summary of the action plans. All action plans must be completed within four years. A progress review will be carried out prior to 1 January 2015. A summary of the internal analysis and Improvement Plan will be made available on the university's website.

The Improvement Plan applies to Radboud. Coordination of the implementation of the Charter and Code of conduct at the University Nijmegen Medical Centre is being conducted by the Medical Faculty.

Radboud University fully endorses the principles of the Charter and Code of Conduct but reserves the right, in well-founded exceptional circumstances (the Hardship Clause), to deviate from the principles.
<table>
<thead>
<tr>
<th>Action Plan</th>
<th>What?</th>
<th>Who?</th>
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<tbody>
<tr>
<td>Action Plan 1</td>
<td>The Executive Board determines that PhD and post-doc students spend at least 75% of their working hours on research (relative time utilization). In principle, up to 25% of working hours are spent on education. Deviations may occur in individual cases if research results are not adversely affected.</td>
<td>EB</td>
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<td>Action Plan 2</td>
<td>The Executive Board determines that regulations that apply to salaried researchers should, in principle, also apply to non-salaried employees. The faculties register all non-salaried employees in the Staff Information System.</td>
<td>EB, Faculties</td>
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<td>Action Plan 3</td>
<td>The Executive Board determines that all academic vacancies should be open to both internal and external candidates. Additionally, advertising the position on Academic Transfer has been specified as sufficiently open.</td>
<td>EB</td>
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<td>Action Plan 4</td>
<td>The faculties make the development and transfer of knowledge a topic of discussion during annual meetings if it relates to new steps to be taken. In addition, agreements will be made between supervisor and researcher as to results to be achieved in the area of knowledge development and transfer for the coming year.</td>
<td>Faculties</td>
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Nijmegen, 30 November 2012
Subject: Regulations that already apply or may apply to individuals working at Radboud University on a basis other than through an employment contract

The Improvement Plan for the HR Excellence in Research application incorporates the action that relevant staff regulations should also apply to non-salaried employees. The following regulations are concerned:

1. Dutch Code of Conduct for Scientists
2. Regulations Relating to Scientific Integrity
4. Duty of Confidentiality
6. Regulations Relating to Undesirable Behaviour
7. General Rules for Knowledge Protection and Exploitation
8. Sub-regulations Relating to the Distribution of Income from Patents
9. Sub-regulations on Establishing and/or Participating in Existing Spin-off Operations
10. Data Protection Rules
12. Regulations RU network and SURFnet
14. NVP-application code (if there is actual recruitment) (The Dutch Association for Personnel Management and Organization Development, known by the acronym "NVP")

In addition to the full application of regulations, additional regulations could apply to employees of the university working on a basis other than through an employment contract. For example, Article 8 of the Decision on Doctoral Candidates in the Education and Supervision Plan. In general, it is about issues that, by analogy, can be applied to employees working on a basis other than through an employment contract. These issues are not examined here.

Radboud University has two source systems that cover "third parties," i.e., individuals without an employment contract with RU but who carry out work at the university and/or use the university's facilities: BASS HRM and RBS. Individuals are registered in BASS HRM if there is a staff interest and contractual relationship (including non-salaried professors and PhD candidates, guest lecturers, guest researchers, non-salaried support staff and interns). The following are registered in RBS: guests, volunteers, former staff, inter-campus secondments, external hiring, and other attendees who need to use the university's facilities.