INTERNAL REVIEW Leiden University
24 April 2017

Name of organisation under review:
Leiden University

Organisation's contact details:
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Web link to published version of organisation's HR Strategy and Action Plan:
http://media.leidenuniv.nl/legacy/leiden-aanvraagdocument-hrs4r-eng.pdf

Web link to organisational recruitment policy (OTM-R principles):45
http://workingat.leiden.edu/

SUBMISSION DATE TO THE EUROPEAN COMMISSION:
04-05-2017

Universiteit Leiden

1. **ORGANISATIONAL INFORMATION**

	FTE
*Please provide an update of the key figures for your organisation. Figures marked * are compulsory.* **STAFF & STUDENTS**	
Total researchers = staff, fellowship holders, bursary holders, PhD students involved in research either full-time or part-time	* 2183
Of whom are international (i.e. foreign nationality)	* 744
Of whom are externally funded (i.e. for whom the organisation is host organisation)	* 497
Of whom are women	* 965
*Of whom are stage R3 or R4**1** = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.*	*Professors: 240
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	* 319
Of whom are stage R1 = in most organisations corresponding with doctoral level	* 767
Total number of students (if relevant) 23,000	
Total number of staff (including management, administrative, teaching and research staff)	* 3,846
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	501 million
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,…)	319 million
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	71 million
Annual funding from private, non-government sources, designated for research	6 million
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words) *Established in 1575, Leiden University is the oldest university in the Netherlands. The university consists of seven faculties: law, humanities, social sciences, mathematics and physics, governance and global affairs, archaeology and medicine. The university was originally located only in Leiden, but it now also has a branch in The Hague.*	

Narrative

Leiden University's Executive Board fully subscribes to the principles of the European Charter for researchers and the European Code of Conduct for recruiting researchers, and it oversees the implementation of the action plan as adopted in 2014. As an effect of this commitment, the majority of the items in the 2014 action plan have now been completed. Several items are still in progress due to changed priorities or lack of capacity. The Board is resolved to achieve these remaining items in the 2017–2020 period. Furthermore, several items have been revised.

General picture

The principles in the Charter and the Code are visible not only in the implementation of the action plan for the HR logo, but also at other instances in Leiden University policy. In 2015 the Executive Board adopted the new institutional plan entitled "Freedom to Excel". One of the university's ambitions is to create an international community with an attractive and visible international teaching and research environment. Topics encompassed by this ambition include bilingualism, inclusiveness and the creation of international collaborative ties. These topics also fall within the scope of the HR logo. The strategic ambitions are translated into the organisation's policy, including the 2017–2020 HR policy plan.

In 2016 the Executive Board established [Leiden University's 2016 Code of Conduct on Academic Integrity](#). The Executive Board places great value on integrity in the broad sense: in academic affairs, in management and in operations. The Code of Conduct covers the most important provisions relating to integrity, rendering the various regulations concerning integrity more accessible.

The Service Centre for International Staff (SCIS) opened its doors in January 2017. The SCIS was established as a response to the needs of international employees. The Centre aims to ensure a smooth immigration process for international staff and provides services for individuals in search of housing and assistance in practical matters. The SCIS organises Easy Landing meetings for international staff members and their families and hopes in this way to contribute to the integration of international staff within the university community.

New guidelines for hiring academic staff were adopted by the Executive Board in 2015 These guidelines include a number of important changes in the career policy for academics. Some of these changes are closely connected to HR logo principles. For example, the way recruitment is to be conducted is specified for each job category. The position of university lecturer is considered as the starting point of an academic career, and vacancies for this job category must always be conducted using open recruitment. Furthermore, experience outside the university is important for obtaining a permanent position. Also new is the possibility to make a career step from university lecturer to senior university lecturer based on teaching performance. The implementation of these provisions is monitored through the annual staff audit conducted within every

department. These items constitute a topic for administrative consultation between the Executive Board and the Faculty Boards.

The university regards it as its task to provide the university community with a challenging and pleasant working environment. Consequently, one of the areas to which the university plays close attention is work pressure. Now more than ever before, academic staff are under pressure to meet expectations relating to teaching and research. The 2015 staff survey made it clear that academic staff at several faculties were subject to heavy work pressure. These faculties are endeavouring to keep the work pressure manageable, by such means as prioritising and phasing new initiatives, deploying extra people and simplifying administrative procedures. We are continuing to follow developments on this issue using the staff survey, w hich is conducted every two or three years..

All supervisors are expected to conduct a performance and development review with their staff at least once a year. In these interviews, not only are agreements made concerning performance, but attention is also paid to the employee's future development in terms of education and career. In recent years the university has worked to improve the quality of these interviews. Measurements have shown that a performance and development interview is conducted with 73% of our staff each year.

It is crucial for the university to invest in PhD candidates and postdocs, not only by way of supervising their research, but also by developing their skills and preparing them for their continuing career inside or outside of academia. In 2017 the Board will make proposals for improving educational opportunities and career guidance for young researchers (PhD candidates and postdocs). As a university we have a responsibility to produce creative and critical researchers who can contribute to finding solutions for society's problems.

In July 2016 all HR managers in the departments filled out the checklist from the European Commission's OTM-R report. The general picture is that the university is already meeting the standards set out in this report, although there is room for improvement on certain points. A number of areas for improvement have been incorporated into the modified action plan for the HR logo. See Appendix I for the list of these areas for improvement.

Subsequent steps 2017–2020

In general, it can be claimed that many of the items in the action plan for the HR logo have been achieved. However, there are still a number of items that need additional work. We have set out the 2017–2020 action plan as follows:

1. We will complete those actions that have not yet been completed. Several actions have been somewhat modified and an action item will be added. This is explained below.
2. We will add some new actions based on the OTM-R analysis. Our scores on the OTM-R criteria have been included in Appendix I.

1. Revised action items

Principle 27 Gender Balance
Recent studies have shown that the percentage of female VENI grant applicants does not significantly lag behind male applicants. However, they also showed that female applicants have a smaller chance of their application being accepted, but this is a consequence of considerations made by the evaluation committees. This also appears to be the case with other grants. For this reason, action item 8 is now being broadened..

New wording of action item 8: Scouting for talented female researchers and helping them to improve their prospects of taking the next step in their academic career, taking their specific situation and needs into account.

In 2016, Leiden University offered HR advisers and institute managers diversity training programmes. In the coming years, these training programmes will be offered for a broader target group, particularly for members of research committees and selection committees.

New action item: Provide diversity training for members of research committees and selection committees.

Principle 40 Supervision
Action item 12 contained several detailed provisions about the various supervisors. On closer inspection, these provisions appear to be too specific.

New wording of action item 12: Every new PhDcandidate to be appointed who works for the university and every new (full-time) contract PhD candidate will be assigned at least one additional supervisor in addition to the PhD supervisor.

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Actions

GREEN = actions which have been completed or which are now a part of the regular operations of the university. They require no active follow-up by the action representatives and will no longer feature in the updated action plan.

YELLOW = actions which were already listed in the initial HR strategy, but either they have not been started or they are still under development within the foreseen timeline. They will remain a part of the updated HR strategy covering the period 2017 - 2020.

WHITE = new actions

Action	Principle	What	Who	Date	Assessment	Status
1	13	Clear guidelines for recruitment of academic staff which - based on open recruitment - offer a transparent and concrete framework for exceptions.	HRM	1 January 2016	Guidelines are established and communicated.	Action is completed. Implementation will be monitored yearly.
2	23	Improved quality of information on ratio of teaching and research in (initial) P&D interviews.	Faculty Boards	1 January 2016	Adjusted form (initial) P&D interviews.	Completed: the P&D form includes the teaching/research ratio.
3	23	Institutes will enable researchers to obtain a teaching-free period at least once every 2 to 4 years which they can use to focus on their research.	Institute Boards	New deadline: 1 September 2019	To be determined	There are major differences in the allotment of teaching-free periods. Greater insight needs to be gained into the current practice of allotting these periods.
4	23	Investigating the reasons for the current minimal use of sabbaticals	HRM	New deadline: 1 January 2019	Currently being investigated.	The collective labour agreement includes a general provision concerning the possibility of taking a sabbatical. Sabbaticals are already

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						being given at some institutes. Major differences in how that is done. First a clear picture must be gained of how this instrument is currently utilised.
5	23	Providing English-language information on practical aspects to international researchers.	HRM in collaboration with P&O departments and ISD (International Service Desk)	1 July 2015	*Holland Handbook* issued to international researchers at the start of their appointment	Completed
	23	Creating and managing English-language webpage with information for new researchers from abroad.	HRM	1 July 2015	English-language web page for new international researchers online.	Completed
6	23	Information about appointment and research facilities on the website is also available in English.	SC&M / HRM	New deadline 1 January 2018	Web pages translated into English	Extensive information about university libraries available. Information on research facilities for each faculty not complete.
7	27	At least one qualified woman in each selection committee.	Faculty Boards	1 January 2015	Annual monitor HRM	Completed
		Monitoring of recruitment and selection procedures for professors.	HRM		Annual monitor HRM	Completed
8	27	Scouting for talented female researchers and helping them improve their prospects for	Faculty Boards	1 July 2015	As apparent from annual faculties' staff audit and	Completed

		taking a new step in their academic career, taking their specific situation and needs into account.			from other sources (different per faculty)	
	27	Diversity training for members of selection committees and research committees.	HRM Courses	1 January 2018	Communication via website	
9	28	Mapping available courses, career guidance, coaching for grant applications for PhDs and postdocs. Creating elements to fill any potential gaps.	HRM / Training & Development and Careers Service	New deadline 1 January 2019	If necessary, offering a new selection of courses, publishing information about courses on the website	In preparation
10	28	Ensuring that researchers can publish the required information on the Leiden University website (either on their profile page or via a specific research page) and providing information on how to do so.	Director of Administration/Executive Office	1 April 2015	Communication via website. Example	Completed
11	40	Every newly appointed employee PhD candidate and every newly appointed (full-time) contract PhD candidate employed by the University is provided with a training and supervision plan within 3 months of the start of his/her contract.	Faculty Boards	New deadline 1 January 2018	Registration in Converis	In preparation.
12	40	Every newly appointed employee PhD candidate and every newly appointed (full-time) contract PhD candidate is assigned a	Faculty Boards	New deadline 1 January 2018	Registration in Converis	In preparation.

		second supervisor.				
13	OTM-R	Short global text about recruitment and selection procedures at Leiden University on the website (working at)	HRM	1 January 2018	Communication via website, both in Dutch and in English	
14	OTM-R	Further roll-out of e-recruitment within the university	HRM	1 January 2020	Registration in SAP Success Factors	In preparation. Two faculties joined in 2016.
15	OTM-R	HRM Training Dept. will either offer a course on recruitment and selection or add a module on recruitment and selection to existing courses.	HRM	1 January 2018	Information about training on website.	

1. Implementation

This review has looked at the current action plan and progress, as well as at areas where Leiden University still needs to make improvements to be and remain an open and inspiring working environment.

This review was prepared using both quantitative and qualitative research. The quantitative part has been taken from the staff surveys held in 2012 and 2015. This satisfaction survey is university-wide and is conducted by an external bureau. Use has also been made of a study conducted in 2016 among PhD students relating to supervision and support.

The qualitative study consisted of structured interviews with academics from various layers of the organisation, affiliated to different institutes and with diverse cultural backgrounds, many of whom have international experience in academia. These interviews gave insight into progress on the action plan and into steps that can still be taken. The academics also mentioned good initiatives being undertaken in their own institute.

All stakeholders are involved in this procedure: the Executive Board, a number of academics, the directors of operations, the faculty deans, the heads of the faculty HR departments and the central HRM department. They, too, examined the content of the evaluation and gave their input where needed. Representatives from the University Council also made a contribution.

Leiden University strives to embed the action items in the HRS4R into the organisation's HR policy. The university's HR policy plan for 2015–2022 involves the intentions set out in the action plan for the HRS4R. There is consequently a lot of common ground between the HR policy plan and the HRS4R action plan.

Leiden University's Executive Board fully subscribes to the principles of the European Charter for researchers and the European Code of Conduct for recruiting researchers, and it oversees the implementation of the action plan as established in 2014. For each action item, responsible parties are indicated who are in charge of implementing the action. Several times a year, a senior HRM policy officer monitors whether adequate progress has been made with implementation.

This internal review has also been adopted by the steering group that guided the introduction of the HR logo in 2014. The same steering group will also prepare the external review in 2020. In line with the schedule, a staff survey will be carried out again in 2018. This will provide information about the working experience and the extent to which the research atmosphere is valued by our researchers, including our international researchers. This information, supplemented with qualitative information from interviews, will give insight into progress on the action items for the external review in 2020.

Attachment 1

In 2015 the European Commission issued the report entitled Open, Transparent and Merit-based Recruitment, which included instructions for establishing recruitment and selection procedures. Research organisations that already have the HR logo are expected to document their recruitment and selection procedures in practice and indicate how they are going to work to meet the standard in the coming years.

In July 2016 all P&O department heads completed the checklist from the European Commission's OTM-R report. The general picture is that the university is following the standard set out in this report, but that there is room for improvement concerning certain items. The list below indicates the existing areas for improvement and how we can meet them in the future.

1. Information about our recruitment and selective procedures must be available on the website, in Dutch and English.
   HRM will produce a short, global text about the recruitment and selection process at Leiden University and publish this on the website, both in Dutch and in English (see also points 2 and 7). **Add to the 2017–2020 actionplan.**

2. OTM-R calls for internal guidelines concerning recruitment and selection procedures for all types of jobs.
   There are already adequate guidelines. These need to be summarised on one A4 sheet of paper. Provide clarification about the manner of recruitment (open or closed, national or international) for various job types. Several minor modifications to the guidelines will follow (e.g. "When drawing up a selection committee, cultural and gender diversity will be taken into account.").

3. Training for recruitment and selection must be available in the organisation.
   HRM Training Dept. will either offer a course on recruitment and selection or add a module on recruitment and selection to existing courses. **Add to the 2017–2020 action plan.**

4. OTM-R calls for recruitment for research positions to be both broad and international and stipulates that the country of origin of the candidates be tracked via e-recruitment.
   We already use Euraxess for those vacancies for which international recruitment is important. This platform enables candidates from throughout the world to learn about job openings at Leiden University. The roll-out of e-recruitment for the internal process will continue so as to facilitate the monitoring task. Furthermore, we are going to make it clear on the website which vacancies we are recruiting for internationally. **Add to the 2017–2020 action plan.**

5. Quality control for recruitment and selection procedures: Are the guidelines in OTM-R being applied?

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Once a year HRM analyses the recruitment and selection procedures for appointing professors. Furthermore, HRM reports the basic information concerning vacancies (the number of vacancies per faculty, job category, salary scale, etc.) twice a year in the P&O Policy Consultation. An e-recruitment system can produce more extensive reports on recruitment and selection procedures.

6. OTM-R calls for rules for the appointment and composition of selection committees. One of the key issues is diversity in the make-up of such a committee. *Modify rules for filling vacant positions: "When forming a selection committee, gender diversity will be taken into account."*

7. OTM-R contains a list of points on which candidates should be evaluated. It is not only the quality of research and the number of publications that matter, but also earning power, impact, international mobility, teaching, etc. Is "merit" generally being evaluated objectively? *These points are generally included in the vacancy texts. This point can be also be included in training programmes (see also point 3).* **Add to the 2017–2020 action plan.**

8. Assessment system to measure the effectiveness of our recruitment procedures. *An e-recruitment system can provide insight into the time frame, number of responses, diversity, whether a candidate has been selected, etc.* **Add to the 2017–2020 action plan.**