HR Excellence in Research
TU Delft GAP Analyses Excellence in Research – Review version

Introduction HR for Excellence in Research

Delft University of Technology endorses the principles of the European Charter for researchers ("the Charter") and European Code of Conduct ("the Code") for the recruitment of researchers. We are very proud that, in 2013, the European Commission awarded Delft University of Technology the Excellence in Research logo.

Charter and Code

To create an open and transparent European research climate, the European Commission has adopted a European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers.
These two documents, addressed to researchers as well as to employers and funders in both the public and private sectors, are key elements in the European Union's policy to make research an attractive career.
Click here for more information about The European Charter and Code for Researchers.

HR strategy for Researchers (HRS4R)

The HR Strategy for Researchers (HRS4R) encourages research institutions to implement the Charter and Code in their policies. The HR Excellence in Research logo is awarded to research institutions that are acknowledged by the European Commission for making significant progress in implementing the Charter & Code. Because Delft University of Technology believes an open and transparent European research climate to be important, the University joined the HRS4R project in 2013 with the aim of incorporating the Charter & Code.

Site visit and outcome

On 13 February 2020, just before the lock down due to COVID 19, TU Delft hosted a site visit for the renewal phase of the logo. The outcome was that TU Delft was complimented with what is already in place regarding the implementation of the Charter and Code. However, the renewal of the award is pending on minor modifications. To address these modifications, we have conducted an internal review with a deadline of 30-3-2021.

This assignment has required that we:

1. deliver a GAP analysis based upon the 40 principles for Excellence in Research
2. deliver a new action plan based upon this GAP analysis (Internal Review)
3. make the HR for Excellence logo page visible and findable for all employees on TU Delft.nl (click here)
4. install a steering group and describe the process of how this group oversees the progress

Addressing these needs, this current document not only contains the Gap analysis based upon the 40 principles for Excellence in Research (Chapter 3), but it also gives an overview of all policy, laws, policies and regulations in place in both the Netherlands (Chapter 1) and at TU Delft (Chapter 2).

The document's detailed index is as follows:

- Chapter 1: General Information Documents: an overview of the relevant documents for all Universities
- Chapter 2: Policy in Place at TU Delft: an overview of the policies that are in place at TU Delft
- Chapter 3: Gap-analysis based on the 40 Principles of Excellence in Research
    1. Ethical and Professional Aspects: general principles and requirements applicable to researchers (principles 1–11)
    2. Recruitment and Selection (Open, Transparent Merit based -Recruitment (OTM-R) (principles 12-21)
    3. Working Conditions of Employment and Social Security (principles 22–35)
    4. Training and Development (principles 36–40)

    Per principle the gap analysis includes 4 columns:

    - Column 1: The principle (including its definition)
    - Column 2: The applicable laws and sections of the Collective Labour Agreement for Dutch Universities (CAO-NU) for each principle
    - Column 3: The relevant National codes and TU Delft policies for each principle
    - Column 4: TU Delft summary of how the university is currently meeting these requirements, plus forthcoming actions TU Delft will undertake. These forthcoming actions are included in the HR for Excellence Action plan.

Please note that the actual audit is carried out online at https://euraxess.ec.europa.eu/jobs/hrs4r. This document is input for the Renewal Internal Assessment and will be published on the TU Delft website under HRS4R, together with the Renewal Internal Review and revised HR Strategy and Action plan.

1. General information documents

Legislation, codes and other relevant sources*	Abbreviation/Acronym	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, and incapacity for work or death. https://www.abp.nl/english/
Academic Transfer	AT	All Dutch universities are members of the Academic Transfer job bank for academics. Academic Transfer is a cooperative whose members (Dutch universities, university medical centres and research institutions) have committed to publishing all their academic vacancies on the Academic Transfer 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/
Advanced University Teaching Qualification	Advanced UTQ	Dutch 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.
Clinical investigations involving medical devices		Clinical investigations involving medical devices – If a clinical trial is carried out on a medical device that does not carry the CE mark, the trial must also be submitted to the Dutch Health and Youth Care Inspectorate in formation (IGJ). This is known as the 'obligation to notify'.
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
Code of Conduct for international student higher education		The Code of Conduct is a joint initiative of the Dutch government and higher educational institutions. The result is an instrument of self-regulation. The Code of Conduct intends to contribute as a quality tool to the ambitions of the Dutch government and the educational institutions regarding internationalization as a means to turn the Netherlands into an attractive destination for knowledge and development. The Code was an initiative of the umbrella organizations of higher education: the VSNU, Vereniging Hogescholen, the NRTO and SAIL. Since 1 March 2013 SAIL no longer exists. The Code of Conduct contains agreements which (the umbrella organizations of) the institutions of higher education have developed to regulate the relationship with international students. The regulations are – for example – about the provision of information to international students and the minimum (language) requirements for admission to an institution of higher education. According to Dutch immigration law, inclusion of an institution in the Register of the Code of Conduct is a precondition for attracting international students from outside the EU. https://www.internationalstudy.nl/?lang=en
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
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/
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
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

Legislation, codes and other relevant sources*	Abbreviation/Acronym	Explanation and website
Copyright Act	AW	The Copyright Act regulates Dutch copyright law. https://wetten.overheid.nl/BWBR0001886/2018-10-11
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
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
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 (Working Hours) Act	WOA	This Act stipulates equal treatment irrespective of an employee's working hours. https://wetten.overheid.nl/BWBR0008161/2012-10-01
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
Equal Treatment of Disabled and Chronically Ill People Act	WGBHZ	This Act stipulates equal treatment irrespective of disability or chronic illness. https://wetten.overheid.nl/BWBR0014915/2017-01-01
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
European Code of Conduct for Research Integrity (2017)	ECCRI	The European Commission recognises this Code as the reference document for research integrity for all EU-funded research projects and as a model for organisations and researchers across Europe. https://allea.org/code-of-conduct/
Experiments on Animals Act	WOD	This Act stipulates measures to protect animal welfare. https://wetten.overheid.nl/BWBR0003081/2019-01-01
Flexible Working Act	WFW	This Act regulates changes to working hours. https://wetten.overheid.nl/BWBR0011173/2016-01-01
General Data Protection Regulation (Implementation) Act	UAVG	This Act implements the General Data Protection Regulation. https://wetten.overheid.nl/BWBR0040940/2019-02-19
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

Legislation, codes and other relevant sources*	Abbreviation/Acronym	Explanation and website
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
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
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
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
KNAW recommendation: Responsible Research Data Management and the Prevention of Scientific Misconduct (2012)	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
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
Knowledge transfer		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.vsnu.nl/en_GB/knowledge-transfer.html
Medical Devices		Forthcoming pieces of legislation on research/medical devices: New regulations on Medical Devices and In Vitro Medical Devices from May 2021 and 2022 respectively.
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
Medical Research Involving Human Subjects Act	WMO	Medical Research Involving Human Subjects Act (WMO) – any study subject to the Medical Research Involving Human Subjects Act (WMO), must undergo a METC (Medical Ethics) review by an accredited MREC or the CCMO.
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 itself gives its verdict. https://lowi.nl/en/
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

Legislation, codes and other relevant sources*	Abbreviation/Acronym	Explanation and website
		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
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
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
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 – Position paper ' Room for everyone/s talent' (VSNU)
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
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
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
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. Every six years the SEP will be update. In 2020 the SEP 2021-2027 has been created. https://www.vsnu.nl/en_GB/sep-eng.html
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
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
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

Legislation, codes and other relevant sources*	Abbreviation/Acronym	Explanation and website
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
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 Ministry 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
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
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
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 http://www.arbeidstijdenwet.nl/
Works Councils Act	WOR	This Act regulates works councils. https://wetten.overheid.nl/BWBR0002747/2019-01-01

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

2. Policy in Place at TU Delft

Policy in place at TU Delft	Explanation/websites/information	Responsible office /person	Steering Committee HR for Excellence
Careers	The information is transparent and available for everyone on the TU Delft website: - Tenure track: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/tenure-track - Postdoc at TU Delft: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/postdoc - PhD at TU Delft: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/phd - Scientist at TU Delft: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/scientist - Professional at TU Delft: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/professional	- Human Resources: Ingrid Halewijn, Director HR	- HR | Talent & Development: Selma de Ridder, Manager Talent & Development - HR: Willem Eleveld, HR Manager Aerospace Engineering
Diversity & Inclusion (D&I)	The information is transparent and available for everyone on the TU Delft website: - Diversity Policy: https://www.tudelft.nl/en/about-tu-delft/strategy/strategy-documents-tu-delft/diversity-policy - Diversity & Inclusion - seven themes: https://www.tudelft.nl/en/about-tu-delft/strategy/strategy-documents-tu-delft/diversity-policy/seven-themes - DEWIS, women's network of scientists at the TU Delft: https://www.tudelft.nl/en/about-tu-delft/strategy/strategy-documents-tu-delft/diversity-policy/dewis - TrueU: TU Delft's LGBT+-network: https://www.tudelft.nl/en/about-tu-delft/strategy/strategy-documents-tu-delft/diversity-policy/true-u	- D&I Office: Prof. David Keyson, Diversity Officer	- Integrity Office: Tineke Dijkstra, Policy Advisor D&I (until 28th of February 2021) - D&I Office: Fatima Ait Bari , Coordinator D&I (from 1st of March 2021)
ESA Teaching and Learning Services	The information is transparent and available for everyone on the TU Delft website: - UTQ/BKO: https://www.tudelft.nl/en/tu-delft-teaching-academy/events-trainings/teacher-trainings/utqbko	- ESA Teaching and Learning Services: Franca Jonquiere Manager TLS	- ESA Teaching and Learning Services: Franca Jonquiere Manager TLS
Graduate School	The information is transparent and available for everyone on the TU Delft website: - TU Delft Graduate School: https://www.tudelft.nl/en/education/programmes/phd/ - Guide for Doctoral Candidates and supervisors: https://d1rkab7tlqy5f1.cloudfront.net/TUDelft/Onderwijs/Opleidingen/PhD/Guide%20for%20PhDs%20and%20supervisors%202016_web.pdf	- Graduate School: Maddy Peters, Coordinator DE programme Graduate School	- Graduate School: Maddy Peters, Coordinator DE programme Graduate School
Health Safety & Environment	The information is transparent and available for everyone on the TU Delft website: - Special work pressure and vitality coaching available for all staff - Work and wellbeing: https://www.tudelft.nl/en/2021/tu-delft/coronavirus/work-and-well-being On TU Delft intranet: - Employee Monitor: https://intranet.tudelft.nl/management-and-policy/-/asset_publisher/ExTvHfHpDHc2/content/good-experiences-at-work?p_p_state_rcv=1 - Employee Monitor 2020: https://intranet.tudelft.nl/documents/20147/1094382/TU+Delft+Employee+Monitor+2020.pdf/93e3e8b0-03af-c318-9497-fccaaa64bb8d?t=1587622812198 - Central Plan of Action 2020 Employee Monitor: https://intranet.tudelft.nl/documents/20147/1094415/Central+Plan+of+Action+2020+Employee+Monitor+7-10-2020.pdf/feb3b3ff-d937-6130-b839-6bfddd0066c3?version=1.0&t=1606838560999 - Health Coach program: https://intranet.tudelft.nl/-/health-coach-programma-hcp-?redirect=%2F	- Health, Safety and Environment: Irene van den Brink, manager HSE	- Health, Safety and Environment: Irene van den Brink, manager HSE -
HR	The information is transparent and available for everyone on the TU Delft website:	- Human Resources: Ingrid Halewijn Director HR	- HR | Talent & Development: Selma de Ridder, Manager Talent & Development

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	- HR for Excellence website and links: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/why-work-at-the-tu-delft/hr-excellence-in-research/ - Strategic Framework 2018-2024: https://www.tudelft.nl/en/about-tu-delft/strategy - Longterm HR agenda 2018-2024: https://intranet.tudelft.nl/documents/20147/451903/Long-term+HR+agenda+2018-2024_July+2020.pdf/841e490c-88bd-b1bb-798d-a627883e1136?t=1597299374459 - OTM- Recruitment guide on TU Delft Website: https://www.tudelft.nl/en/about-tu-delft/working-at-the-tu-delft/hr-excellence-in-research - Employee participation and elections: https://www.tudelft.nl/en/about-tu-delft/organisation/regulations/employee-participation-and-elections/ - National insurance schemes and social security benefits: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/coming-to-the-netherlands-tu-delft/support-for-international-employees/on-arrival/pension-and-social-security-system/national-insurance-schemes-and-social-security-benefits - International Insurances TU Delft: https://internationalinsurances.nl/tudelft/ On TU Delft intranet: - Leadership profile: https://intranet.tudelft.nl/-/leadership?redirect=%2F - Training and development page on intranet: https://intranet.tudelft.nl/-/i-want-to-develop-myself?redirect=%2F - Onboarding new employees page on intranet: https://intranet.tudelft.nl/-/i-m-a-new-employee?inheritRedirect=true - R&D policy on intranet: https://intranet.tudelft.nl/-/r-d-results-and-development?redirect=%2F		- HR: Willem Eleveld, HR Manager Aerospace Engineering
Integrity	Alongside the 2018 launch of the Netherlands Code of Conduct for Research Integrity TU Delft has reviewed and developed its integrity policies and infrastructures. [1] TU Delft Vision on Integrity 2018-2024 (2018) [3] TU Delft Code of Conduct (2020) [4] TU Delft Regulation on Complaints about Research Integrity (2020) The information is transparent and available for everyone on the TU Delft website: - TU Delft Vision on Integrity 2018-2024 (2018): https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/tu-delft-vision-on-integrity-2018-2024 - Codes of Conduct and Regulations: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/codes-of-conduct-and-regulations - TU Delft Code of Conduct (2020): https://d2k0ddhflgrk1i.cloudfront.net/TUDelft/Over_TU_Delft/Strategie/Integriteitsbeleid/COC%20EN.pdf - TU Delft Regulation on Complaints about Research Integrity (2020): https://d1rkab7tlqy5f1.cloudfront.net/TUDelft/Over_TU_Delft/Strategie/Integriteitsbeleid/TU%20Delft%20Regulation%20on%20Complaints%20about%20Research%20Integrity%202020.pdf - TU Delft Academic Integrity Complaints: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/academic-integrity - TU Delft Regulations on Human Trials: https://www.tudelft.nl/en/about-tu-delft/organisation/regulations/research-and-valorisation - Social integrity: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/social-integrity - Reporting of irregularities: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/academic-integrity - Complaints by students: https://www.tudelft.nl/en/student/legal-position/central-complaints-desk-for-students - Ancillary activities: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/organisational-integrity	Integrity Office : - Prof.dr. Sabine Roeser, Integrity Officer - Lotte Melenhorst, Coordinator Integrity Office and secretary Integrity Board	Integrity Office: - Cath Cotton, Policy Advisor Academic Integrity - Tineke Dijkstra, Policy Advisor D&I

Policy in place at TU Delft	Explanation/websites/information	Responsible office /person	Steering Committee HR for Excellence

	- TU Delft Complaints Concerning Undesirable Behaviour: https://d2k0ddhflgrk1i.cloudfront.net/TUDelft/Over_TU_Delft/Strategie/Integriteitsbeleid/TU%20Delft%20Regulations%20for%20Complaints%20Concerning%20Undesirable%20Behaviour.pdf
	- Integrity roadmap for staff: https://d2k0ddhflgrk1i.cloudfront.net/TUDelft/Over_TU_Delft/Strategie/Integriteitsbeleid/TU%20Delft%20-%20Interim%20Integrity%20Roadmap%20-%20Staff.pdf
	- Integrity roadmap for students: https://d2k0ddhflgrk1i.cloudfront.net/TUDelft/Over_TU_Delft/Strategie/Integriteitsbeleid/TU%20Delft%20-%20Interim%20Integrity%20Roadmap%20-%20Students%20%282%29.pdf
	- Academic and Social Integrity are also included in the 2021-27 SEP Research Assessment and we are providing advice and developing specific guidance for this element of research quality
	   ○ Academic Integrity: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/academic-integrity
	   ○ Social Integrity: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/social-integrity
	- Research Integrity Committee: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/academic-integrity/research-integrity-committee
	- Confidential counsellor research integrity: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/academic-integrity/confidential-counsellor-research-integrity
	- Organisational Integrity: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/organisational-integrity
	- Human Research Ethics: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/human-research-ethics		

Library	- TU Delft Library: https://www.tudelft.nl/en/library - Copyright Information Point: https://www.tudelft.nl/library/copyright - TU Delft OPEN Publishing: https://www.tudelft.nl/en/library/current-topics/tu-delft-open-science/os/open-publishing - TU Delft OPEN policies: https://www.tudelft.nl/en/library/current-topics/tu-delft-open-science/os/open-publishing/about/policies/ - TU Delft Open Science: https://www.tudelft.nl/library/tu-delft-open-science - Research Data Policy Framework: https://d2k0ddhflgrk1i.cloudfront.net/Library/Themaportalen/RDM/researchdata-framework-policy.pdf - TU Delft Research Software policy	- Library: Irene Haslinger, Director Library	- Library: Anke Versteeg, Policy Advisor
Recruitment	The information is transparent and available for everyone on the TU Delft website: - Working at the Delft: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft - 5 reasons to work at TU Delft: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/why-work-at-the-tu-delft - Vacancy site with support of an ATS: https://www.tudelft.nl/over-tu-delft/werken-bij-tu-delft/vacatures/ - OTM-Recruitment Guide: https://d2k0ddhflgrk1i.cloudfront.net/TUDelft/Over_TU_Delft/WerkenBij/Recruitment%20guide_ENG_Oct%202019.pdf - OTM-Recruitment Checklist: https://d2k0ddhflgrk1i.cloudfront.net/TUDelft/Over_TU_Delft/WerkenBij/2019_checklistOTM.pdf	- Human Resources: Ingrid Halewijn, Director HR	- HR	Talent & Development: Selma de Ridder, Manager Talent & Development

Social networks	The information is transparent and available for everyone on the TU Delft website:
	- PostDoc Network TU Delft: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/coming-to-the-netherlands-tu-delft/support-for-international-employees/at-tu-delft/support-networks/postdoc-network
	- PhD network:
	   ○ Faculty PhD Councils: each faculty has its own PhD Council
	   ○ University PhD Council (UPC): each Faculty PhD Council have representatives in the University PhD Council: https://intranet.tudelft.nl/-/promo-1
	   ○ LinkedIn: TU Delft has a LinkedIn group for PhD candidates: https://www.linkedin.com/groups?gid=2913594
		- HR	Talent & Development: Selma de Ridder, Manager Talent & Development	- HR	Talent and Development: Sasja van Warmerdam

Policy in place at TU Delft	Explanation/websites/information	Responsible office /person	Steering Committee HR for Excellence
	o Facebook: TU Delft has a Facebook group for PhD candidates: https://www.facebook.com/groups/420396674705341/?ref=category_discover_category o International Neighbour Group (ING):The ING offers a programme of interesting activities to international staff members attached to TU Delft and their partners/families: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/coming-to-the-netherlands-tu-delft/support-for-international-employees/social-networks-for-partners/international-neighbour-group-delft/ o YoungDelft: https://intranet.tudelft.nl/-/YoungDelft o TU Delft Wiki: The TU Delft Wiki is centralized and maintained by the Shared Service Center ICT of TU Delft. The support is handled by the E-Learning Support group: http://wiki.tudelft.nl/bin/view/Main/WebHome - Young Delft: https://www.tudelft.nl/en/about-tu-delft/working-at-tu-delft/coming-to-the-netherlands-tu-delft/support-for-international-employees/at-tu-delft/support-networks/young-delft - DEWIS, women's network of scientists at the TU Delft: https://www.tudelft.nl/en/about-tu-delft/strategy/strategy-documents-tu-delft/diversity-policy/dewis - TrueU: TU Delft's LGBT+-network: https://www.tudelft.nl/en/about-tu-delft/strategy/strategy-documents-tu-delft/diversity-policy/true-u -		
Strategy	The information is transparent and available for everyone on the TU Delft website: - Strategic framework 2018- 2024: https://www.tudelft.nl/en/about-tu-delft/strategy/tu-delft-strategic-framework-2018-2024 - Strategic documents TU Delft: https://www.tudelft.nl/en/about-tu-delft/strategy/strategy-documents-tu-delft - TU Delft Core values DIRECT: (see TU Delft Strategic Framework 2018 – 2024)	- Strategic Development: Dr. G.J.L. (Gert-Jan) Scheurwater MPA, Director	- Strategic Development: Marte Bugel, Strategic Advisor Valorisation Center
Valorisation	The information is transparent and available for everyone on the TU Delft website: - Strategic framework 2018- 2024, Chapter 2 Research & Innovation: https://www.tudelft.nl/en/about-tu-delft/strategy/tu-delft-strategic-framework-2018-2024 - Valorisation Agenda 2020: https://d1rkab7tlqy5f1.cloudfront.net/TUDelft/Over_TU_Delft/Strategie/valorisatieagenda-EN-25-11-2014.pdf	- Valorisation: Drs. H.P.S. (Paul) Althuis, Director TU Delft Valorisation Centre	- Strategic Development: Marte Bugel, Strategic Advisor Valorisation Center

3. Gap-analysis based on principles

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
1. Ethical and Professional Aspects: General Principles and Requirements applicable to Researchers (principles 1–11)				
1	Research freedom *Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.* *Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.*	Constitution of the Kingdom of the Netherlands - *Article 7: Freedom of speech* Higher Education and Research Act - *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)…* **At TU Delft the following policies, on top of national codes and policies, are in place:** - Academic Integrity - TU Delft Code of Conduct - Data Management Framework Policy and Faculty Policies - Integrity roadmap for staff - Integrity roadmap for students	**At TU Delft:** **Integrity - General:** In parallel with the update of the European (2017) and Netherlands (2018) Codes of Conduct for Research Integrity, and with a view to embedding the joint importance of both academic independence and responsibility in research, TU Delft has already: - Established a Committee on Reassessment of Integrity Policy (Q1 2018) which has: - Published the TU Delft Code of Conduct (Q1 2020) based on the existing Code of Ethics and consultation with staff and students - Mandated Data Management Plans for all research from 2020, established a network of Faculty Data Stewards, and developed Central and Faculty Data Management Policies within a Central Framework Policy - Established the TU Delft Integrity Office (including academic, social and organisational integrity) as well as an advisory Integrity Board (Q3 2020) - Activities to implement the TU Delft, Dutch and European Codes of Conduct (for Research Integrity) include internal communications, onboarding procedures, providing dedicated capacity for the Human Research Ethics Committee (HREC) and developing new initiatives with Faculties and Departments (e.g. in light of the 2020 Employee Monitor and in advance of 2021 Research Assessment) to embed the European and Netherlands Codes of Conduct for Research Integrity **In terms of Academic Freedom:** The role of the Integrity Office includes implementing the European and Netherlands Codes of Conduct for Research Integrity which include the following points: **EU:** Research … is underpinned by freedom to define research questions and develop theories, gather empirical evidence and employ appropriate methods … and ideally develops independently of pressure from commissioning parties and from ideological, economic or political interests (p3) **NL:** Independence and Responsibility are two of the guiding principles of the NGWI (p13) and Standard 49: Refrain from making an assessment if any doubts could arise regarding your independence (for example, because of possible commercial or financial interests). **At TU Delft the following actions will be undertaken:**

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
				- All staff will be informed regarding Code of Conduct and Health and Safety Catalogue as part of their onboarding program (Q4 2022)
2	Ethical principles *Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.*	Higher Education and Research Act - *Article 1.7: Ethics guidelines*	NGW (2014) *Principle 2: Reliability (page 7).* *Every academic practitioner supports and strengthens the fundamental reliability of science and scholarship through their own conduct. Academic practitioners conduct and report on their research and transfer their knowledge through teaching and publishing in a reliable manner…* 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…*	**At TU Delft:** See "Integrity - General" text above **In terms of Ethical Principles:** The role of the Integrity Office includes implementing the European and Netherlands Codes of Conduct for Research Integrity which include the following points: **EU:** Ethics as an important part in: Training, Supervision and Mentoring (p5), Education and Publishing (Annexe 1); "Further issues recently addressed include dual use of research outcomes, ethical aspects of risks, science and human rights, support for higher education and research in Palestine, research on human embryos, synthetic biology, nanotechnologies etc. (p14) **NL:** Research Design: "Ensure that the required permissions are obtained and that, where necessary, an ethical review is conducted." Duties of Care 4.6 Ethical norms and Procedures (18-21) **At TU Delft the following actions will be undertaken:** - Renew the TU Delft Dilemma Game, a tool for the TU community to stimulate open conversation and reflection on (academic, social and organisational) integrity dilemmas (Q4 2021) - Set up a Diversity & Inclusion office to create an all-embracing culture towards diversity, with two dedicated policy advisors on D&I (Q4 2021) - Consult and propose on wider research ethics needs and solutions (Q4 2021) - Implement new developments (to promote reach and quality) in the existing HREC processes (Q4 2022)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)

			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)
			
			KNAW letter and recommendation: Correct Citation Practice (2014)
			
			At TU Delft the following policies on top of national codes and policies are in place:
			
			- TU Delft Code of Conduct
			- TU Delft Regulations on Human Trials
			- Regulations regarding (complaints for):
			    ○ Academic Integrity
			    ○ Undesirable behaviour
			    ○ Reporting of Irregularities
			    ○ Complaints by students
			- Data Management Framework Policy and Faculty Policies
			- Integrity roadmap for staff
			- Integrity roadmap for students	

3	Professional responsibility *Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate*	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)	**See "Integrity - General" text above** **In terms of Professional Responsibility:** **At TU Delft:** The role of the Integrity Office includes implementing the European and Netherlands Codes of Conduct for Research Integrity which include the following points:

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)

	new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.
	
	Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.
			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)
			
			At TU Delft the following policies on top of national codes and policies are in place:
			
			- TU Delft Code of Conduct
			- TU Delft Regulations on Human Trials
			- Regulations regarding (complaints for):
			    o Academic Integrity
			    o Undesirable behaviour
			    o Reporting of Irregularities
			    o Complaints by students
			- Data Management Framework Policy and Faculty Policies
			- Integrity roadmap for staff
			- Integrity roadmap for students
				EU: A basic responsibility of the research community is to formulate the principles of research, to define the criteria for proper research behaviour, to maximise the quality and robustness of research, and to respond adequately to threats to, or violations of, research integrity (p3); Joint responsibility in collaborations (p6)
				
				NL: Non-compliance with them [the professional standards detailed in the Code] undermines professional responsibility (p23); Responsibility is one of the core Principles (p3 and 13); Principles may sometimes clash. On occasion, for example, responsibility towards a commissioning party or the need to safeguard public security restricts the extent to which a researcher can be transparent. In such cases, it will be necessary to determine which principles should be given priority (p14).
				
				TU Delft must comply with the legal provisions associated with the General Data Protection Regulation (GDPR). This means, among other things, that processing (e.g. storage) of personal data must be inventoried / registered within the HR department. Data processing of HR Services (such as PeopleSoft) is largely visible and registered. This registration also offers us the opportunity to identify risks and act on them and thus guarantee the privacy of our students and employees. This will help avoid claims and nasty reporting in the future.
				
				At TU Delft the following actions will be undertaken:
				
				- Set up a Diversity & Inclusion office to create an all-embracing culture towards diversity, with two dedicated policy advisors on D&I (Q4 2021)
				- All staff will be informed regarding Code of Conduct and Health and Safety Catalogue as part of their onboarding program (Q4 2022)
				- Develop and implement updated Integrity roadmaps for staff and students - which includes existing confidential counsellors in Academic Integrity and Undesirable Behaviour (Q4 2021)
				- Implement Applicant Tracking System (ATS): bring ATS technical live, conduct pilots, evaluate, and implement for all TU Delft (Q4 2021)

4	Professional attitude *Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals*	None	NGW (2014) *Principle 1: Honesty and scrupulousness (page 5).*	**At TU Delft:** See "Integrity - General" text above

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	before starting their research or accessing the resources provided. *They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.*		*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) **At TU Delft the following policies on top of national codes and policies are in place:** - TU Delft Code of Conduct - Academic Integrity - Core values, see TU Delft Strategic Framework 2018-2024 - Leadership Profile, see evidence documents	**In terms of Professional Attitude:** The role of the Integrity Office includes implementing the European and Netherlands Codes of Conduct which include the following points: **EU:** Dealing with violations (p8): Failing to follow good research practices violates professional responsibilities. It damages the research processes, degrades relationships among researchers, undermines trust in and the credibility of research, wastes resources and may expose research subjects, users, society or the environment to unnecessary harm. **NL:** Non-compliance with them [the professional standards detailed in the Code] undermines professional responsibility which harms the research process and the relationship between individual researchers, and possibly also trust in and the credibility of the research. (p23); **At TU Delft the following actions will be undertaken:** - All staff will be informed regarding Code of Conduct and Health and Safety Catalogue as part of their onboarding program (Q4 2022) - We are participating in the VSNU Working Group on implementing the NWGI, sharing and advising on identifying and implementing good practices, particularly (but not only) in terms of institutional Duties of Care
5	Contractual and legal obligations *Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions.* *This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms*	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	**At TU Delft the following policies on top of national codes and policies are in place:** - Valorisation Agenda 2020	**No need for further actions.**

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	and conditions of the contract or equivalent document.	- Patents Act - Higher Education and Research Act		
6	Accountability *Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.* *Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.*		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 parties, funding bodies and the environment.*	**At TU Delft the following actions will be undertaken:** - Develop and implement Integrity roadmaps for staff and students - which includes existing confidential counsellors in Academic Integrity and Undesirable Behaviour (Q4 2021) - Offering to supervisors (including PI, New Tenure Track, new managers) supervision training and correct tooling and skills to enhance the career development of their staff (Q4 2021) - All staff will be informed regarding Code of Conduct and Health and Safety Catalogue as part of their onboarding program (Q4 2022)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
			Responsibility also means conducting research that is scientifically and/or societally relevant. **At TU Delft the following policies on top of national codes and policies are in place:** - TU Delft Code of Conduct - Academic Integrity - Core values, see Strategic Framework 2018-2024 - Leadership Profile, see evidence documents - TU Delft Library https://www.tudelft.nl/en/library)	
7	Good practice in research *All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.*	- Working Conditions Act - Medical Research (Human Subjects) Act - Experiments on Animals Act - General Data Protection Regulation (Implementation) Act	Code of Conduct for Using Personal Data in Research Health and Safety Catalogue for Dutch Universities **At TU Delft the following policies on top of national codes and policies are in place:** - GDPR - Data Management Framework Policy and Faculty Policies - Code Openness Animal trials: TU Delft follows the law on Experiments on Animal Acts and Code of Transparency in Animal Testing - TU Delft Regulations on Human Trials - DORA, TU Delft is signatory as a member of the VSNU - Nagoya Protocol (HSE) - NWGI/ European Code	**At TU Delft:** See "Integrity - General" text above In terms of Good Practice in Research: **Netherlands Code of Conduct for Research Integrity 2018** – produced by members of the Dutch Higher Education Sector[1], the NCCRI defines five Principles of Integrity: *Honesty, Scrupulousness, Transparency, Independence and Responsibility*. It further elaborates 61 Standards for Good Research Practices that researchers are expected to meet, alongside 21 Duties of Care, which are the responsibilities of research institutions to ensure the safety and wellbeing of their students and staff. [1] De Vereniging van Universiteiten (VSNU), Koninklijke Nederlandse Akademie van Wetenschappen (KNAW), Dutch Research Council (NWO), Toegepast Onderzoek Organisaties (TO2), Nederlandse Federatie van Universitair Medische Centra (NFU) and Vereniging Hogescholen (VH) **At TU Delft the following actions will be undertaken:** - All staff will be informed regarding Code of Conduct and Health and Safety Catalogue as part of their onboarding program (Q4 2022)
8	Dissemination, exploitation of results *All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in*	Collective Labour Agreement for Dutch Universities *Article 6.6 Annual consultation: … with regard to the way in which the employee is expected to perform or pursue his or her career during a future set period to be agreed upon, as well as*	UFO *4.6 Concrete work and result agreements (page 14)* *The result areas (and activities contained within them) have not been translated into concrete and measurable work agreements, as these can differ depending on the job holder.*	**At TU Delft:** - The Library is organising and offering training activities for publishing articles and open access by the Library. - In line with recognition & rewards initiative and our open science policy we stimulate all aspects of open science through our TU Delft Open Science programme.

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.	*the conditions under which this shall take place (page 51).*	*Consequently, the employee's superior needs to make agreements, expressed in concrete terms, with the employee on what is expected from him or her in the coming period…* Open Access Knowledge transfer Sector Regulation on Ancillary Activities KNAW recommendation: Science to Order. On the relationship between academic researchers and commissioning parties (2005) **At TU Delft the following policies on top of national codes and policies are in place:** - Open by default: as open as possible, as closed as necessary (core values TU Delft Open Science Program) - Policy Ancillary Activities - Research Data Policy Framework - TU Delft policy on Open Access Publishing	
9	Public engagement *Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.*		Science and Society Action Plan (European Commission)	**At TU Delft:** Activities in launched/in progress include: - Training activities (at TU Delft Library) for writing and publishing articles - Activities for outreach to the public, such as: 'Professors in the Theatre arena', professors as educators in primary schools *via* Studium Generale - Citizen Science project as part of the TU Delft Open Science Program - Using storytelling platform/s to engage the public by Stories of Science and Stories of Support - Participating in City Deals throughout the Netherlands: agreements between cities and their knowledge institutes to work together on the different cities' questions.
10	Non-discrimination *Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.*	Constitution of the Kingdom of the Netherlands *Article 1 Equal treatment* *Article 1 of the Constitution forms an important basis for the fight against discrimination. It spells out the principle of equality and the prohibition of discrimination. The article specifies that everyone shall be treated equally in equal circumstances (principle of*	NVP Recruitment Code *1. Principles (page 4)* *The applicant has a fair chance at appointment; this means equal opportunity for equal ability and the organisation will choose on the basis of suitability with respect to the position…*	**At TU Delft the following actions will be undertaken:** - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness(Q1 2021) - Improve the visibility of the NVP Recruitment code by publishing the Code on the TU Delft website (including procedures for complaints) (Q1 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Renew and publish the OTM – Recruitment guide & OTM- R Checklist (Q4 2021) - Set up a Diversity & Integrity office to create an all-embracing and inclusive culture towards diversity Staff Office: (Q4 2021)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
		equality) and that discrimination on the grounds of religion, personal beliefs, political leanings, race, gender or any other grounds whatsoever is not permitted (prohibition of discrimination). Collective Labour Agreement for Dutch Universities *Article 6.1 Application procedure: When recruiting and selecting, the employer acts in accordance with the code of the Dutch Association for Staff Policies (page 50).* - Equal Treatment Act - Equal Treatment (Men and Women) Act - Equal Treatment (Working Hours) Act - Equal Treatment of Disabled and Chronically Ill People Act - Equal Treatment in Employment (Age Discrimination) Act	**At TU Delft the following policies on top of national codes and policies are in place:** - NVP Recruitment code - OTM - R Recruitment guide - OTM - R Checklist	- Improve recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)
11	Evaluation/ appraisal systems *Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.* *Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.*	Collective Labour Agreement for Dutch Universities - *Article 6.7 Assessment: A periodic assessment shall be carried out with regard to the way in which the employee has performed his duties and his behaviour during the performance of his duties (page 52).* - *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*	Recognition and reward of academics SEP **At TU Delft the following policies on top of national codes and policies are in place:** - Information on Work at TU Delft: Work at TU Delft - Results & Development policy - Results & Development policy - Tenure Track - Doctoral Education track for PhD	**At TU Delft:** The Results & Development conversations are conducted yearly or bi-yearly and supported by an HR system and integrated in the Results & Development Cycle. The careers of scientists are also monitored by the career committees who monitor the progression of our scientists, especially the Tenure Trackers. **At TU Delft the following actions will be undertaken:** - Include recognition and reward of academic outreach (Q4 2025) - Evaluate and provide advice for Tenure Track policy (Q3 2021) - Evaluate and redesign the Results & Development Cycle (Q4 2021) - Implement Strategic Personnel Planning as part of the Results & Development Cycle (Q4 2021) - Focus on: building on talent, the role of the supervisor and the role of the team in relation to strategic goals (Q4 2022) - Implement redesign of the Results & Development Cycle (Q4 2022) - In line with the new Recognition and Reward initiative, develop possibilities for academics to diversify career paths with various accents on research, education, valorisation and leadership. Faculties and teams will be equipped to form diverse teams based on both the strategic direction of the

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
		meet with his or her line manager at least once a year… (page 51).		organisation and the talent of the team members (see also Long-term HR Agenda 2018-2024 and Central plan of approach Employee Monitor (Q4 2025).

2. Recruitment and selection (OTM-R) (principle 12-21)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
12	Recruitment *Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.* *Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.*	Collective Labour Agreement for Dutch Universities *Article 6.1 Application procedure: When recruiting and selecting, the employer acts in accordance with the code of the Dutch Association for Staff Policies (page 50).*	NVP Recruitment Code *2. Recruitment (pages 4, 5).* *Should the organisation decide that a vacancy exists or will exist, it will prepare a recruitment profile in which the relevant details of the vacant position are set out…* AcademicTransfer Code of Conduct for the Recruitment of Researchers **At TU Delft the following policies on top of national codes and policies are in place:** - Working at TU Delft website - 5 reasons to work at TU Delft	**At TU Delft:** The "Working at TU Delft" website has been renewed in 2020 and vacancies are now supported by the Applicant Tracing system. All scientific vacancies are published on Academic Transfer automatically and all English scientific vacancies also on EURAXESS. **At TU Delft the following actions will be undertaken:** - Improve the visibility of the NVP Recruitment code by publishing the code on the TU Delft website (including procedures for complaints) (Q1 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Setting up a continues evaluation recruitment process, the candidate journey (Employee Monitor central plan of approach) (Q2, 2022) - Improve recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)
13	Recruitment (code) *Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised.* *Advertisements should give a broad description of knowledge and competencies required, and should not be so specialized as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.*	Equal Treatment Act	NVP Recruitment Code *2. Recruitment (pages 4, 5).* *Should the organisation decide that a vacancy exists or will exist, it will prepare a recruitment profile in which the relevant details of the vacant position are set out…* AcademicTransfer Code of Conduct for the Recruitment of Researchers **At TU Delft the following policies on top of national codes and policies are in place:** - OTM-R Recruitment Guide - OTM-R Checklist	**At TU Delft:** The analysis of the OTM – R code has allowed TU Delft to professionalise the recruitment procedure – for example through improved vacancy texts (and including new Guidelines for writing vacancy texts.) **At TU Delft the following actions will be undertaken:** - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness(Q1 2021) - Improve the visibility of the NVP Recruitment code by publishing the Code on the TU Delft website, including procedures for complaints (Q1 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Improve recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
14	Selection (code) *Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.*	Equal Treatment Act	**At TU Delft the following policies on top of national codes and policies are in place:** - OTM-R Recruitment Guide	**At TU Delft:** For bringing more diversity in selection committees has been addressed as described in the OTM-R Recruitment Guide and guidelines for Selection and Evaluation Committees **At TU Delft the following actions will be undertaken:** - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness(Q1 2021) - Renew and publish the OTM – Recruitment guide & OTM- R Checklist (Q4 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Setting up a continues evaluation recruitment process, the candidate journey (Employee Monitor central plan of approach) (Q2, 2022) - Improve bias awareness in the selection process (Q4 2022) - Improve recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)
15	Transparency (code) *Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.*	None	NVP Recruitment Code *2. Recruitment (pages 4, 5).* *The organisation will give the applicant clarity of the application procedure…* **At TU Delft the following policies on top of national codes and policies are in place:** - NVP Recruitment Code - OTM – R Guide - OTM – R Checklist	**At TU Delft the following actions will be undertaken:** - Improve the visibility of the NVP Recruitment code by publishing the Code on the TU Delft website (including procedures for complaints) (Q1 2021) - Renew and publish the OTM – Recruitment guide & OTM- R Checklist (Q4 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Make the selection process clear to the (potential) candidate (Q4 2021) - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness (Q1 2021) - Improve the recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)
16	Judging merit (code) *The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered.* *This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices*	None	Competence profiles for Dutch universities *From page 3*	**At TU Delft:** - The VSNU UFO profiles together with the Performance Criteria - Scientific Staff is the basis for appraisals, personal development plans and the development of scientific staff. **At TU Delft the following actions will be undertaken:** - Improve the visibility of the NVP Recruitment code by publishing the Code on the TU Delft website (including procedures for complaints) (Q1 2021) - Renew and publish the OTM – Recruitment guide & OTM- R Checklist (Q4 2021) - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness(Q1 2021)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.			- Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Strengthen the implementation of our policies and criteria by which a career within the university can also be based on teaching merits. Strengthened by the Recognition and Reward initiative, to improve the possibility to diversify academic careers and acknowledgment of the value of experience outside of academia (Q3 2024). - Improve the recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)
17	Variations in the chronological of CVs (code) *Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.*	None	None	At TU Delft the following actions will be undertaken: - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness(Q1 2021) - Improve the visibility of the NVP Recruitment code by publishing the Code on the TU Delft website, including procedures for complaints (Q1 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Improve bias awareness in the selection process (Q4 2022) - Improve the recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024) - Strengthen the implementation of our policies and criteria by which a career within the university can also be based on teaching merits. Strengthened by the Recognition and Reward initiative, to improve the possibility to diversify academic careers and acknowledgment of the value of experience outside of academia (Q3 2024)
18	Recognition of mobility experience (code) *Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.*	None	None	At TU Delft the following actions will be undertaken: - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness(Q1 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Improve the recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024) - Strengthen the implementation of our policies and criteria by which a career within the university can also be based on teaching merits. Strengthened by the Recognition and Reward initiative, to improve the possibility to diversify academic careers and acknowledgment of the value of experience outside of academia (Q3 2024)
19	Recognition of qualifications (code) *Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal qualifications, of all researchers, in particular within the context of international and professional*	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*	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.*	At TU Delft: - A financial check on salary, based on the VSNU UFO profiles, in incorporated in our Applicant Tracking System At TU Delft the following actions will be undertaken: - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness(Q1 2021)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.	*System (UFO), as stated in Appendix J, and the rules pertaining to career development as referred to in Article 6.5(page 28).* - *Article 6.5: The social policy of the institutions shall be aimed at promoting development opportunities and career prospects (page 50).* - *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 theemployer (page 52).* <u>Recognition of certificates awarded abroad</u>	*It must be possible to determine which job profile is applicable on the basis of the actual responsibilities… (page 14).*	- Renew and publish the OTM – Recruitment guide & OTM- R Checklist (Q4 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Strengthen the implementation of our policies and criteria by which a career within the university can also be based on teaching merits. Strengthened by the Recognition and Reward initiative, to improve the possibility to diversify academic careers and acknowledgment of the value of experience outside of academia (Q3 2024) - Improve the recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)
20	<u>Seniority (code)</u> *The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of*		<u>UFO</u> *3.3 Classification criteria and classification rules* *The classification of a job is based on the actual responsibilities associated with the job in question.*	**At TU Delft the following actions will be undertaken:** - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness(Q1 2021) - Renew and publish the OTM – Recruitment guide & OTM- R Checklist (Q4 2021) - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.		*It must be possible to determine which job profile is applicable on the basis of the actual responsibilities… (page 14).* **At TU Delft the following policies on top of national codes and policies are in place:** - NVP code	- Strengthen the implementation of our policies and criteria by which a career within the university can also be based on teaching merits. Strengthened by the Recognition and Reward initiative, to improve the possibility to diversify academic careers and acknowledgment of the value of experience outside of academia (Q3 2024) - Improve recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)
21	Postdoctoral appointments (code) *Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of longterm career prospects.*	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).*	**At TU Delft :** We have a PostDoc Network TU Delft which includes budget for organising activities. The Chairman and Treasurer communicate with the PostDocs by using a Teams channel and organise various activities for PostDocs, like reach out to other PostDoc networks at other universities. Furthermore, the TU Delft Career Centre provides PostDocs with specialised career coaches to help prepare for their next step. **At TU Delft the following actions will be undertaken:** - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021) - Improve the recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)

3. Working Conditions of employment and social security (principles 22–35)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
22	Recognition of the profession *All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).*		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 **At TU Delft the policies are in place.**	**At TU Delft the following actions will be undertaken:** - Implement Strategic Personnel Planning as part of the Results & Development Cycle (Q4 2021) - Strengthen the implementation of our policies and criteria by which a career within the university can also be based on teaching merits. Strengthened by the Recognition and Reward initiative, to improve the possibility to diversify academic careers and acknowledgment of the value of experience outside of academia (Q3 2024) - In line with the new Recognition and Reward initiative, develop possibilities for academics to diversify career paths with various accents on research, education, valorisation and leadership. Faculties and teams will be equipped to form diverse teams based on both the strategic direction of the organisation and the talent of the team members (see also Long-term HR Agenda 2018-2024 and Central plan of approach Employee Monitor (Q4 2025).

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
23	Research environment *Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.*	Working Conditions Act *Chapter 2: Working conditions policy* Collective Labour Agreement for Dutch Universities *E.13 Approach to work pressure and long-term employability: All Dutch universities have now drawn up a work pressure reduction action plan. These plans take the local circumstances at the university into account and leave room for an implementation that is appropriate to the requirements and circumstances within departments and faculties… (page 101).*	Health and Safety Catalogue for Dutch Universities **At TU Delft the following policies on top of national codes and policies are in place:** - See the internetpage: Working at the TU Delft - Health Coach program	**At TU Delft:** The following activities have been delivered/are in progress: - A special department, Health, Safety and Environment overseas, performs the Employee Monitor every three years - Special work pressure and vitality coaching is available for all staff - A Work and wellbeing workgroup has been established - Increased safety awareness through various activities: making policy, introducing prevention officers, running Work Stress Week (annual), establishing emergency procedure as a standard part of the Lab Servant instruction module, and drawing up HSE departmental plans taking into account the dedicated action Employee Monitor 2017 - Open Science Community TU Delft **At TU Delft the following actions will be undertaken:** - Set up a Diversity & Inclusion office to create an all-embracing culture towards diversity, with two dedicated policy advisors on D&I (Q4 2021) - Safety awareness will be part of the new onboarding programme (Q4 2021) - Implementing and monitoring the Employee Monitor Central Plan of Action for 2020-2022 (Q2 2023)
24	Working conditions *Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate* *the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral* *collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career 9. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.*	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* - *Pensions, social security and social services (page 59).* - Working Hours Act - Work and Care Act - Flexible Working Act	ABP pension rules **At TU Delft the following policies on top of national codes and policies are in place:** - See the internetpage: Working at the TU Delft - Health Coach program	**At TU Delft the following actions will be undertaken:** - Set up a Diversity & Inclusion office to create an all-embracing culture towards diversity, with two dedicated policy advisors on D&I (Q4 2021) - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness (Q1 2021) - During and after Covid 19 give structural attention to well-being for all employees (Q4 2022) - Implement and monitor the Employee Monitor Central Plan of Action for 2020-2022 (Q 2023)
25	Stability and permanence of employment *Employers and/or funders should ensure that the performance of researchers is not*	Collective Labour Agreement for Dutch Universities	**At TU Delft the following policies on top of national codes and policies are in place:**	**No need for further actions.**

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.	*Article 2.3:* - *Paragraph 1: The collective labour agreement specifies that the maximum term of a temporary employment contract for academic staff is six years (page 22).* - *Paragraph 7: The temporary employment contract may be followed by another temporary employment contract no more than twice (page 24).* - *Paragraph 9: Multiple contracts separated by an interruption of no more than six months count as uninterrupted employment (page 24).* - *Appendix M: More career prospects and job security for junior lecturers and postdoctoral researchers (page 119).* - EU Directive 1999/70/EC Implementation Act	- Tenure Track	
26	Funding and salaries *Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.*	Collective Labour Agreement for Dutch Universities - Article 3.5 (page 28), - Article 3.8 (page 28), - Article 3.10 (page 29), - Article 7.1 (page 59), - Article 7.2 (page 59), - Article 7.3 (page 59), - Article 7.6 (page 60). - National social security legislation - Unemployment Insurance Act - Work and Income (Capacity for Work) Act - Exceptional Medical Expenses Act - General Old Age Pensions Act - Sector-specific social security legislation - Sickness and Disability Scheme for Dutch Universities - Netherlands Universities Enhanced Unemployment Scheme	ABP pension rules **At TU Delft the following policies on top of national codes and policies are in place:** - National insurance schemes and social security benefits - International Insurances TU Delft	**No need for further actions.**

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
27	Gender balance *Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.*	- Equal Treatment Act - Equal Treatment (Men and Women) Act	- Talent to the Top Charter - LNVH Monitor **At TU Delft the following policies on top of national codes and policies are in place:** - Diversity Policy - DEWIS woman's network	**At TU Delft the following actions will be undertaken:** - Make a 'selection toolkit ' available for vacancy holders and selection committees, including improving BIAS awareness (Q1 2021) - Create Gender Equality Plans (GEPs) at TU Delft and execute on Gender Equality Plans (ENGINE Project) (Q4 2021) - Set up a Diversity & Inclusion office to create an all-embracing culture towards diversity, with two dedicated policy advisors on D&I (Q4 2021) - Increase the targets set of 25% of full professors on the basis of the LNVH Monitor (Q4 2025)
28	Career development *Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.*	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).*	**At TU Delft the following policies on top of national codes and policies are in place:** - Room for personal growth - PostDoc Network TU Delft - Tenure track - PhD at TU Delft - Scientist at TU Delft - Professional at TU Delft	**At TU Delft:** A selection of trainings from TU Delft, Erasmus University and Leiden University are available for all staff of TU Delft. **At TU Delft the following actions will be undertaken:** - Set up a Diversity & Inclusion office to create an all-embracing culture towards diversity, with two dedicated policy advisors on D&I (Q4 2021) - Ensure availability of a pool of qualitative (team-) coaches and mentors (Q4 2021) - Offering to supervisors (including PI, New Tenure Track, new managers) supervision training and correct tooling and skills to enhance the career development of their staff - Support Postdocs in their career both within and outside of TU Delft (Q4 2022) - Improve accessibility of all training and development possibilities for all staff through an easily findable and accessible development curriculum: including access to a learning experience platform for all personnel (Q4 2022) - Implement eLearning for all staff (Q4 2022) - Improve collaboration between TU Delft and Academic Transfer in relation to career development for PhD students both within and outside of academia (Q4 2022) - Develop an assessment framework for dual employment relationships with external partners (Q4 2022) - Strengthen the implementation of our policies and criteria by which a career within the university can also be based on teaching merits. Strengthened by the Recognition and Reward initiative, to improve the possibility to diversify academic careers and acknowledgment of the value of experience outside of academia (Q3 2024) - Increase the targets set of 25% of full professors on the basis of the LNVH Monitor (Q4 2025)
29	Value of mobility *Employers and/or funders must recognise the value of geographical, intersectoral,*	Collective Labour Agreement for Dutch Universities	**At TU Delft the following policies on top of national codes and policies are in place:**	**At TU Delft the following actions will be undertaken:** - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	inter- and trans-disciplinary and virtual 12 mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. *This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.*	*Article 6.5, paragraph 1:* *… Mobility, both within and outside one's own institution, is a vital aspect here (page 50).*	- At TU Delft we encourage our young academics, once they received their doctorate, to find a Postdoc position at another university to enhance one's career.	- Support PostDocs in their career both within and outside of TU Delft (Q4 2022) - Improve collaboration between TU Delft and Academic Transfer in relation to career development for PhD students both within and outside of academia (Q4 2022) - Develop an assessment framework for dual employment relationships with external partners (Q4 2022) - Develop cooperation with Academic Transfer and 4TU in relation to recruitment of teaching staff (Q4 2024) - Improve the recruitment of scientific (and support) talent by executing the Long-term HR Agenda 2018-2024 for recruiting talented academic and support staff (Q4 2024)
30	Access to career advice *Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.*	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).*		**At TU Delft:** To implement these policies further, we will provide staff and employees with the correct skills to review and advance their careers, building on talent. **At TU Delft the following actions will be undertaken:** - Ensure availability of a pool of qualitative (team-) coaches and mentors (Q4 2021) - Offering to supervisors (including PI, New Tenure Track, new managers) supervision training and correct tooling and skills to enhance the career development of their staff - Support PostDocs in their career both within and outside of TU Delft (Q4 2022) - Improve accessibility of all training and development possibilities for all staff through an easily findable and accessible development curriculum: providing access to a learning experience platform for all personnel (Q4 2022) - Implement eLearning for all staff (Q4 2022) - Develop policies and criteria by which a career within the university can also be based on teaching merits (Q3 2024) This action is still in place from the old action plan and will be strengthened by the Recognition and Reward initiative to improve the possibility to diversify academic careers (Q3 2024)

31	Intellectual Property Rights
	
	Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights.
	
	Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as
		- Copyright 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).*
			Open Access
			
			At TU Delft the following policies on top of the national codes and policies are in place:
			• TU Delft OPEN Publishing
			• TU Delft OPEN policies
			• Open Science Community TU Delft
			• YES! Delft
			• Valorisation Centre
				No need for further actions.

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	possibly provided for under specific collaboration agreements or other types of agreement.			
32	Co-authorship *Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research.* *Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).*	Copyright Act - *Chapter 2 Author of the work, Section 4.* - *Chapter 2 Author of the work, Section 7.*	Recognition and reward of academics **At TU Delft the following policies on top of national codes and policies are in place:** - TU Delft OPEN Publishing - TU Delft OPEN policies - Copyright Information Point	**At TU Delft:** TU Delft is in the process of implementing CRediT (Contributor Roles Taxonomy) for scholarly output in the context of the open science programme and the recognition & rewards committee. An example of stimulating co-authorship in a multidisciplinary setting is the investment in Delft Artificial Intelligence labs where scientist with a specialisation in AI (IN AI) work together with other scientific disciplines (WITH AI) to develop scientific fields with AI. **At TU Delft the following actions will be undertaken:** - Implement Applicant Tracking System: bring ATS technical live, conduct pilots, evaluate and implement for all TU Delft (Q4 2021)
33	Teaching *Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.* *Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.*	Collective Labour Agreement for Dutch Universities - Article 6.5a Tenure track: The following shall be stipulated in all procedures for a tenure track… (page 51).	UFO *Jobs.* University Teaching Qualification **At TU Delft the following policies on top of the national code and policies are in place:** - UTQ/ BKO - 5 year contract PhD position (teaching and research: DAI)	**UTQ:** All new teachers with less than 5 years of experience are encouraged to get their University Teaching Qualification (UTQ/BKO). The University Teaching Qualification (UTQ) programme provides new TU Delft teaching staff with the opportunity to develop competencies necessary to carry out their current and future teaching duties. On completing the programme, participants should meet the requirements of the university teaching qualification. The UTQ programme is intended for all new or less experienced lecturers with teaching duties of more than 0.2 fte. Obtaining the UTQ qualification is obligatory for all new lecturers at TU Delft with less than 5 years of teaching experience. They are obliged to obtain the qualification within 3 years after their appointment. The various sections of the programme are also open to other lecturers wishing to further develop their didactic skills. TABLE_BELOW **At TU Delft the following actions will be undertaken:** - Evaluate and provide advice for Tenure Track policy (Q4 2021)

Table within row 33:

2020	Offered	Ran	Participants	Passed
Develop	14	14	151	118
Assess	13	12	122	87
Supervise	12	10	119	76
Teach	12	10	90	47
Final Interview			62	62
Finalisation Day	3	3	112	n/a
UTQ Total	**54**	**49**	**656**	

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
				- Improve accessibility of all training and development possibilities for all staff through an easily findable and accessible development curriculum: providing access to a learning experience platform for all personnel (Q4 2022) - Strengthen the implementation of our policies and criteria by which a career within the university can also be based on teaching merits. Strengthened by the Recognition and Reward initiative, to improve the possibility to diversify academic careers and acknowledgment of the value of experience outside of academia (Q3 2024)
34	Complaints/appeals *Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.*	Collective Labour Agreement for Dutch Universities - *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 ombudsman for the staff at the universities in the CAO based on this evaluation (page 98).*	LOWI **At TU Delft the following policies on top of national codes and policies are in place:** - TU Delft Code of Conduct - TU Delft Regulations for Complaints Concerning Undesirable Behaviour - TU Delft Students Complaints Regulations - TU Delft Regulations for Reporting Misconduct - TU Delft Academic Integrity Complaints Regulations - Ombuds office for students - Ombuds office for staff (currently: pilot phase)	**At TU Delft:** The current procedures for both students and staff are here: https://www.tudelft.nl/en/about-tu-delft/strategy/integrity-policy/ We are now consulting the wider TU Delft Integrity Community in the further elaboration of these procedures. **At TU Delft the following actions will be undertaken:** - Develop and implement Integrity roadmaps for staff and students - which includes existing confidential counsellors in Academic Integrity and Undesirable Behaviour (Q4 2021) - Structurally embed Ombud's office for staff after 2-year pilot; and simultaneously revise the Ombud's office for students (Q3 2021) - Renew the structure of confidential advisors for undesirable behaviour (Q3 2021) - All staff will be informed regarding Code of Conduct and Health and Safety Catalogue as part of their onboarding program (Q4 2022)
35	Participation in decision-making bodies *Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.*	Higher Education and Research Act • *Chapter 9,* • *Chapter 11,* • *Chapter 13.* Works Councils Act	Regulations for local consultations with employees' organisations **At TU Delft the following policies on top of national codes and policies are in place:** Consulting bodies	**No need for further action.**

4. Training and development (principles 36–40)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
36	Relation with supervisors *Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so*	Collective Labour Agreement for Dutch Universities *Article 6.8: The employer shall see to it, following consultation with the doctoral candidate and in accordance with a customised plan for training and guidance set up for the doctoral*		**At TU Delft:** The following activities regarding supervision are in place: **1. Supervision training as part of UTQ, see UTQ / BKO** The aim of the University Teaching Qualification (UTQ) programme is to allow teachers to prove they possess the basic skills to develop, teach, supervise and assess academic courses.

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	as to take full advantage of their relationship with them. *This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.*	*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).*		How to supervise individual students during a BA or MA graduation assignment and / or a PhD-programme? SUPERVISE consists of 3 sessions in which the participant will focus on your skills as a supervisor: how to communicate with the student, how to motivate him/her, how to monitor progress and how to assess the final product. We will pay attention to the start of the project, the milestones and the roles as supervisor in the various stages of the graduation or PhD-project. Learning objectives - By the end of this course, you should be able to: - Explain your roles and responsibilities as a supervisor - Prepare the first meeting with your student in which you pay attention to the process, procedure and content - Create a motivational learning environment - Provide clear, specific and constructive feedback that will stimulate the learning process of the student - Manage problem solving during the supervision process - Pinpoint the cause of the problem by listening, summarising and asking further questions - Identify who is responsible for solving a given problem - Improve your supervision practice - Reflect on your performance - Define concrete points to improve **2.Supervision of PhD: Mastering PhD Supervision (implemented since 2019)** The course is aimed at assistant professors (including those on Tenure Track), associate professors and new full professors. Some experience in supervising PhD candidates is required plus the ability to reflect on situations that are difficult. 'Mastering PhD Supervision' is an intensive course of three days which consists of practical exercises. The participant will learn by carrying out assignments and receiving personal feedback after which you need to apply the lessons learned in your work situation. **At TU Delft the following actions will be undertaken:** - Evaluate and provide advice for Tenure Track policy (Q4 2021) - Onboarding of new managers (Q4 2022) - Offering to supervisors (including PI, New Tenure Track, new managers) supervision training and correct tooling and skills to enhance the career development of their staff (Q4 2022) - Develop and implement a Guide for Tenure Track (Q4 2022) - For each doctoral candidate – Safeguard that each doctoral candidate receives a customised plan (PhD agreement) for training and guidance, agreed in consultation with the mentor or supervisor, see Guide for Doctoral Candidates and supervisors (Q4 2023)
37	Supervision and managerial duties *Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators,*	Collective Labour Agreement for Dutch Universities *Article 6.8: … the extent, in minimum hours per month, of personal guidance*	Healthy Practices in the Dutch PhD System	**At TU Delft:** The following activities regarding supervision are in place (see principle 36) - Supervision training as part of UTQ, see UTQ / BKO - Special supervision training: Mastering PhD Supervision has been implemented in 2019

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
	managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.	*from the appointed mentor to which the doctoral candidate is entitled (page 52).*		**At TU Delft the following actions will be undertaken:** - Onboarding of new managers (Q4 2022) - Offering to supervisors (including PI, New Tenure Track, new managers) supervision training and correct tooling and skills to enhance the career development of their staff (Q4 2021) - Broaden the offer of (personal) leadership development courses for all staff (Q4 2022) - For each doctoral candidate - Safeguard that each doctoral candidate receives a customised plan for training and guidance, agreed in consultation with the mentor or supervisor, see <u>Guide for Doctoral Candidates and supervisors</u> (Q4 2023) - Develop a mentoring programme for specific target groups across faculties and service departments (Q4 2022) - Develop and evaluate several personal and professional development courses for our (support) staff (Q1, 2024)
38	<u>Continuing Professional Development</u> *Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.*	<u>Collective Labour Agreement for Dutch Universities</u> - *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).*	**At TU Delft the following policies on top of national codes and policies are in place:** - <u>Room for personal growth</u> - Leadership profile	**At TU Delft the following actions will be undertaken:** - Offering to supervisors (including PI, New Tenure Track, new managers) supervision training and correct tooling and skills to enhance the career development of their staff (Q4 2021) - Evaluate and redesign the Results & Development Cycle (Q4 2021) - Evaluate and provide advice for Tenure Track policy (Q4 2021) - Support PostDocs in their career both within and outside of TU Delft (Q4 2022) - Develop a mentoring programme for specific target groups across faculties and service departments (Q4 2022) - Develop and evaluate several personal and professional development courses for our (support) staff (Q1, 2024) - Broaden the offer of (personal) leadership development courses for all staff (Q1, 2024) - Provide continuous leadership development for all staff (Q1, 2024) - Improve accessibility of all training and development possibilities for all staff through an easily findable and accessible development curriculum: providing access to a learning experience platform for all personnel (Q4 2024)
39	<u>Access to research training and continuous development</u> *Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.* *Such measures should be regularly assessed for their accessibility, take-up and effectiveness in improving competencies, skills and employability.*	<u>Collective Labour Agreement for Dutch Universities</u> - *Article 6.5 Career Development (page 50),* - *Article 6.8 DocTerms of Reference (ToR)al 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*	<u>Advanced University Teaching Qualification</u> **At TU Delft the following policies on top of national codes and policies are in place:** - <u>Room for personal growth</u>	**At TU Delft the following actions will be undertaken:** - Implement eLearning for all staff (Q4 2022) - Provide continuous leadership development for all staff (Q1, 2024) - Improve accessibility of all training and development possibilities for all staff through an easily findable and accessible development curriculum: providing access to a learning experience platform for all personnel (Q4 2024) - Broaden the offer of (personal) leadership development courses for all staff (Q4 2022) - Develop and evaluate several personal and professional development courses for our (support) staff (Q1, 2024)

Number	Principle	Legislation and CAO-NU	National codes and TU Delft policies	What TU Delft is doing (in place) and is planning to do (Policy plans 2020-2024)
		and postdoctoral researchers *(page 9)*. - *Appendix M: More career prospects and job security for junior lecturers and postdoctoral researchers (page 119)*.		
40	Supervision *Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties and should inform the researchers accordingly.* *Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.*	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).*		**At TU Delft:** The following activities regarding supervision are in place (see principle 36): - Supervision training as part of UTQ, see UTQ / BKO - Special supervision training: Mastering PhD Supervision has been implemented in 2019 **At TU Delft the following actions will be undertaken:** - Offering to supervisors (including PI, New Tenure Track, new managers) supervision training and correct tooling and skills to enhance the career development of their staff (Q4 2021) - Implement eLearning for all staff (Q4 2022) - Roll out initiatives to support creating a safe environment with social security and feedback culture (Q4 2022) - Broaden the offer of (personal) leadership development courses for all staff (Q4 2022) - Improve accessibility of all training and development possibilities for all staff through an easily findable and accessible development curriculum: providing access to a learning experience platform for all personnel (Q4 2022) - Develop and evaluate several personal and professional development courses for our (support) staff (Q1, 2024)