I - GAP ANALYSIS OVERVIEW:
EUROPEAN CHARTER FOR RESEARCHERS AND CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS

		Instructions
		Status = to what extent does this organisation meet the principles?
		Symbols used: + = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented
		In case of -, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation Please list suggestions for improvement

SECTION 1: ETHICAL AND PROFESSIONAL ASPECTS		
Principle	Status	Outline, relevant laws and sectoral regulations, institutional regulations and comment where relevant
1. Research freedom	+	"Researchers should focus their research for the good of humanity 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 because 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." National • Constitution of the Kingdom of the Netherlands, see https://www.denederlandsegrondwet.nl/ • Education and Scientific Research Act, see Wet op het Hoger Onderwijs en Wetenschappelijk Onderzoek Sector • The Netherlands Code of Conduct for Scientific Pratice, see • http://www.vsnu.nl/files/documents/Netherlands%20Code%20of%20Conduct%20for%20Research%20Integrity%202018.pdf KNAW • https://www.knaw.nl/nl/actueel/publicaties/code-ter-voorkoming-van-oneigenlijke-beinvloeding-door-belangenverstrengeling • https://www.knaw.nl/nl/actueel/publicaties/wetenschap-op-bestelling • https://www.knaw.nl/nl/adviezen/adviesraden-en-adviescommissies/cvw • https://knaw.nl/nl/actueel/publicaties/vrijheid-van-wetenschapsbeoefening-in-nederland Comment • While research freedom in principle is beyond discussion in the Netherlands, KNAW, in her role as 'the voice and conscience of science', actively monitors the actual state of affairs on a regular basis. For the latest KNAW report on research freedom (March 2018), see last link above and remark in the section "Charter and Code Themes" in Action Plan. It has sparked a fresh and ongoing debate, see *inter alia* https://www.scienceguide.nl/2018/05/geen-parlementair-politiek-debat-over-academische-vrijheid/

2. Ethical principles	+	**Europe** • http://www.allea.org/wp-content/uploads/2017/04/ALLEA-European-Code-of-Conduct-for-Research-Integrity-2017.pdf **Sector** • http://www.vsnu.nl/files/documents/Netherlands%20Code%20of%20Conduct%20for%20Research%20Integrity%202018.pdf • http://www.lowi.nl/en/netherlands-board-on-research-integrity-lowi?set_language=en • http://vsnu.nl/files/documenten/Domeinen/Onderzoek/SEP2015-2021.pdf **KNAW** • https://www.knaw.nl/nl/actueel/publicaties/manual-research-assessment-academy-institutes • https://www.knaw.nl/nl/actueel/publicaties/code-ter-voorkoming-van-oneigenlijke-beinvloeding-door-belangenverstrengeling • https://www.knaw.nl/nl/actueel/publicaties/ethical-and-legal-aspects-of-informatics-research **In addition (national)** • Wet op de dierproeven. This regards the very strict legal framework for the use of animal testing and is relevant for the following Academy Institutes: Hubrecht, NIN and NIOO. **Comment** • The Netherands "Code of Conduct for Research Integrity" has just is currently undergone a profound revision (2018), as has the ALLEA European Code (2017). See in in more detail, section "Charter and Code Themes" in Action Plan.
3. Professional responsibility	+	"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 and conditions of the contract or equivalent document." **Sector** • Collective labour agreement for the scientific sector: see VSNU CAO • Standard Evaluation Protocol (SEP), see http://vsnu.nl/files/documenten/Domeinen/Onderzoek/SEP2015-2021.pdf **KNAW** • https://www.knaw.nl/nl/actueel/publicaties/manual-research-assessment-academy-institutes • https://www.knaw.nl/en/news/publications/standard-evaluation-protocol-2015-2013-2021?set_language=en **Comment** • See above sub 2 for the latest update of the Netherlands Code of Conduct.

4. Professional attitude	+	"Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms and should seek all necessary approvals 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." Sector • For the Netherlands Code of Conduct, see above sub 2. Comment • About the required familiarity of researchers with the "strategic goals governing their research environments": Every four years KNAW issues her organization-wide strategic policy agenda. Currently in vigour is "Wetenschap Verbindt" ['Science Connects']. Strategische Agenda 2016-2020", see https://knaw.nl/shared/resources/actueel/publicaties/pdf/wetenschapverbindtstrategischeagenda20162020web.pdf. • In addition, each Academy institute pursues its own multi-years research agenda, the results of which are systematically reviewed in the six-year SEP evaluations.
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 and conditions of the contract or equivalent document." Sector • For the Code of Conduct, see above sub 2. • SEP2015-2021, see http://www.vsnu.nl/files/documenten/Domeinen/Onderzoek/SEP2015-2021.pdf • IPR Manual, see https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/IP_Management_h2020_implementation_0.pdf\ KNAW • Contractual and legal obligations of KNAW staff are routinely outlined in the letter of appointment. • For more complex aspects of contractual or legal obligations (e.g. IPR or patents), Academy institutes and individual researchers can avail of the services of the KNAW Legal Services Department, and those of the KNAW Knowledge Transfer Office. • For the latter, see https://www.knaw.nl/en/institutes/kto.
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." Sector • In the Netherlands, accountability and financial transparency are firmly embedded in the financing conditions of (internal and external) funders of research. See e.g. https://www.nwo.nl/en/funding/funding+process+explained • For the Code of Conduct for Research Integrity, see above sub 2. • For the quality assessment of research, including all aspects defined above, see Standard Evaluation Protocol 2015-2021 https://www.knaw.nl/nl/actueel/publicaties/standard-evaluation-protocol-2015-2021 (amended version of 2016) KNAW • For the need of adequate and transparent data-management in relation to the prevention of scientific misconduct, see the KNAW report https://www.knaw.nl/nl/actueel/publicaties/responsible-research-data-management-and-the-prevention-of-scientific-misconduct • Open science, see https://www.knaw.nl/en/topics/openscience/opendata?set_language=en • Open data, see https://www.knaw.nl/en/topics/openscience/open-access-and-digital-preservation/open-access/overzicht?set_language=en • Guideline Evaluation social relevance of scientific research, see • https://www.knaw.nl/nl/actueel/publicaties/handreiking-evaluatie-van-maatschappelijke-relevantie-van-wetenschappelijk-onderzoek Comment • About "methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny" etc.: See links above and the summary of the Academy's data principles and policy in the section "Charter and Code Themes" of the Action Plan.
7. Good practice in research	+	"Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times." National • Employment Conditions Law: see Arbeidsomstandighedenwet • General Data Protection Regulation (as of May 25, 2018), see https://autoriteitpersoonsgegevens.nl/nl/onderwerpen/avg-europese-privacywetgeving

		Sector • Safe working conditions, see https://www.vsnu.nl/files/documenten/CAO/2010-5065(c)_English_translation_ACNU.pdf • Code of Conduct for Biosecurity: https://www.knaw.nl/en/topics/veiligheid/biosecurity/overzicht?set_language=en KNAW • With regard to "necessary precautions (…) for recovery from information technology disasters, e.g. by preparing proper back-up strategies": In recent years (2013-2016): KNAW has implemented in all its institutes strict protocols for the storage, uniformity, transparency, reusability and controllability of research data, both pertaining to current and concluded research. See: www.ru.nl/rdm/vm/knaw and https://www.knaw.nl/en/topics/openscience/open-access-and-digital-preservation/open-access/policy • For big data research involving personal data, see the latest KNAW Report (May 15, 2018) "Big Data in wetenschappelijk onderzoek met gegevens over personen" (Dutch with summary in English). https://knaw.nl/en/news/news/research-involving-big-data-requires-interdisciplinary-teamwork?set_language=en
8. Dissemination and 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 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." Sector • https://www.vsnu.nl/en_GB/knowledge-transfer.html • https://www.rathenau.nl/nl/publicatie/evaluating-societal-relevance-academic-research-guide • https://pure.knaw.nl/portal/files/472346/ERiC_guide.pdf KNAW • This is a central theme in her multi-year policy plan "Wetenschap verbindt. Strategische agenda KNAW 2016-2020", see https://knaw.nl/shared/resources/actueel/publicaties/pdf/wetenschapverbindtstrategischeagenda20162020web.pdf. See further in section "Charter and Code Themes" of the Action Plan, and below sub 9. • Societal impact is a prominent feature of the renewed Standard Evaluation Protocol 2015-2021, see above sub 6. • As to valorisation, see KNAW's Rathenau Institute still seminal 2011 report "*Waardevol. Indicatoren voor Valorisatie" ('Valuable. Indicators for Valorization):* „The report (…) offers knowledge institutes, science financiers and knowledge users a common framework for valorisation. The method works with valorisation maps with which the organizations involved can systematically monitor the extent of the valorisation efforts, the yields and the opportunities for improvement. The use of valorisation maps will help to increase the insight into what public knowledge institutions, science financiers and the business community already do with regard to valorisation."(https://pure.knaw.nl/portal/en/publications/waardevol--indicatoren-voor-valorisatie(97c46876-5af6-45d0-b8cc-0e56d3632bf3).html) • In 2015, Academy installed its own Knowledge Transfer Office (KTO), see "Charter and Code Themes" in Action Plan, and https://www.knaw.nl/en/institutes/kto?set_language=en

| 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."

Sector
• Dutch National Research Agenda (2016): https://wetenschapsagenda.nl/national-science-agenda/?lang=en

KNAW
• Dissemination of specialized research results to a wider audience is one of the core missions of KNAW (cf. the title of the current policy plan, see above sub 8) and is very actively pursued. See remark in section "Charter and Code Themes" in Action Plan, and e.g. the Academy's calender of public events: https://www.knaw.nl/en/news/calendar?set_language=en#b_start=0.
• The Academy Institutes, many of which host important research collections with a heritage dimension, all feature new public letters, events with academic specialists, and rich web environments (also) geared at a wider audience. In 2017, all Academy Institutes together delivered 560 professional publications for a wider audience.
• In 2015-2016, KNAW played a leading role in the realization of the Dutch National Science Agenda (Nederlandse Wetenschapsagenda), which involved, quite uniquely, a public consultation phase: „In 2014, the government commissioned the Knowledge Coalition, consisting of KNAW, MKB Nederland, NFU, NWO, TO2, Association of Universities of Applied Sciences, VNO-NCW and VSNU, to develop a connecting agenda for research in the Netherlands. (…) This National Science Agenda stimulates creativity and innovation and connects parties and themes. By drawing up the agenda, science, business and society have come closer together. No less than 11,700 questions [!] submitted by involved and curious people make up the basis of the Science Agenda. From this response, 140 cluster questions were distilled [by the Academy], inspired by theory and practice, with ramifications to various disciplines. These cluster questions relate to important intersectoral and interdisciplinary issues, but do not include the entirety of science. Everything in the Science Agenda is important, but not all that is important is in the Science Agenda. In addition to the agenda, there will have to be sufficient room for free and unbound research. (https://www.knaw.nl/nl/actueel/nieuws/de-nationale-wetenschapsagenda) |
| 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."

National
• Equal treatment acts in the Netherlands: http://knowledge.leglobal.org/anti-discrimination-laws-in-the-netherlands/
• Constitution: https://www.denederlandsegrondwet.nl/

Sector
• VSNU CAO (art. 1.12) |

		KNAW
		• While in general, non-discrimination is a hallmark of Dutch society and a deeply honoured principle at KNAW, it needs continuous attention, nourishing and protection. The Academy avails of a permanent workgroup and steering committee devoted to non-discrimination, diversity and inclusion. One of the results of the stakeholder consultation was that also employees regularly endorsed the continuing need of attention for (whatever) minority groups in solicitations and collegial interactions. The latest Employee Satisfaction Survey equally yielded important signals to this effect.
		• See also the thematic conference organized by KNAW in 2017 on "Diversity in Science": https://www.knaw.nl/en/news/calendar/speakers-diversity-in-science
11. Evaluation and 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."
		Sector and KNAW
		• https://www.knaw.nl/en/topics/kwaliteit/quality-assessment-of-scientific-research/overview?set_language=en
		• https://www.knaw.nl/nl/actueel/publicaties/standard-evaluation-protocol-2015-2021
		• https://www.knaw.nl/en/news/publications/quality-indicators-for-research-in-the-humanities
		• https://www.knaw.nl/en/news/publications/towards-a-framework-for-the-quality-assessment-of-social-science-research
		Comment
		• The Academy oversees the quality of scientific pursuit in the Netherlands. The aim of these assessment activities is to enable the system of science and scholarship to function efficiently, effectively and in line with the stated research targets and societal objectives. The Academy gives advice about quality assessment in separate disciplines, and together with the Netherlands Association for Scientific Research (NWO) and the Association of Universities in the Netherlands (VSNU), it is responsible for the Standard Evaluation Protocol.
		• Each Academy Institute is subjected to a six-year cycle of international evaluation according to the SEP protocol. It is mandatory that the outcomes are implemented as soon as possible. Eventually, research institutes may even lose their privileged status as an Academy Institute, should they not adequately meet the standards of excellence which the Academy requires.

SECTION 2: RECRUITMENT AND SELECTION		
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." Sector • VSNU CAO (art. 6.1) • Code of Conduct for Recruitment and Selection, see https://nvp-plaza.nl/download/?id=7714 KNAW • [Add link to public endorsement of Charter & Code + OTM-R principles on KNAW website] Comment • Recruitment of researchers at the Academy is fully 'OTM' and international; see more in section "Charter and Code Themes" in Action Plan. • To enhance the visibility of KNAW's endorsement of the Code of Conduct for the Recruitment of Researchers, KNAW provides on her website with links to the relevant protocols. In addition, in the course of 2018 KNAW will provide a central (online) procedural recruitment guideline for her institutes, in order to further secure OTM-R practice (*action*).
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 specialised 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." Sector and KNAW: see sub 12.
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." Sector and KNAW: see sub 12.

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." Sector and KNAW: see sub 12.
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 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." Sector and KNAW: see sub 12.
17. Variations in the chronological order 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." Sector and KNAW: see sub 12.
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." Sector and KNAW: see sub 12.
19. Recognition of qualifications (Code)	+	"Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional 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." Sector and KNAW: see sub 12.
20. Seniority (Code)	+	"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 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." Sector and KNAW: see sub 12.
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." Sector and KNAW: see sub 12.

SECTION 3: WORKING CONDITIONS AND SOCIAL SECURITY		
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)." Sector and KNAW • http://www.vsnu.nl/functie_ordeningsystem_ufo.html Comment • This is implicit and self-evident for researchers working at Academy Institutes
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." National • Working Conditions Act, see Arbeidsomstandighedenwet Sector • Following consultations, the VSNU and employee organisations have decided to compile a new Working Conditions Catalogue for the Dutch universities. This Working Conditions Catalogue will consist of several subcatalogues relevant to occupational health and safety policy in the sector and will serve as a self-regulation tool replacing a large number of occupational health and safety policy regulations imposed by the government. It will give employers and employees greater influence over the SZW Inspectorate's enforcement policy. See https://www.vsnu.nl/en_GB/workingconditionscatalogue.html KNAW • About high quality research environments in order to facilitate cutting edge research, see additional remarks in section "Charter and Code Themes" of Action Plan.
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. 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."

		National
		• [Arbeidsomstandighedenwet](#) • [Arbeidstijdenwet](#) • [Wet arbeid en zorg](#) • [Wet flexibel werken](#) Sector • [VSNU CAO](#) KNAW • KNAW follows the national and sectoral labour agreements. • Attention for high work pressure, mental fitness and a maintaining a proper balance between work and private life, is an explicit scope of the renewed set of tools and in-company trainings offered by KNAW to its employees. See below, sub 28.
25. Stability and permanence of employment	+	"Employers and/or funders should ensure that the performance of researchers is not 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." National • [Wet werk en zekerheid](#) Sector and KNAW • [VSNU CAO](#) Comment • KNAW employs a mix of temporary and permanent contract researchers. The number of the latter is directly related to the height of the basic operating subsidy as provided by the Ministry of Education, Culture and Science, and occasionally can be subject to budget cuts, as in recent years. Temporary contracts naturally follow the (usually external) temporary funding of research. During the stakeholder consultation, it regularly emerged that young researchers (PhDs and postdocs) yearn for more perspectives on a permanent contract. While fully understandable, unfortunately this is not within the possibilities of KNAW.
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."

		National • [Werkloosheidswet](#) (WW) • [Ziektewet](#) • [Wet op de arbeidsongeschiktheidsverzekering](#) (WAO) • [Algemene Ouderdomswet (AOW)](#) • [Wet werk en inkomen naar arbeidsvermogen](#) (WIA) Sector and KNAW • [VSNU CAO](#) • http://vsnu.nl/bwnu.html • http://vsnu.nl/zanu.html • http://www.vsnu.nl/functie_ordeningsystem_ufo.html Comment The remuneration policy of KNAW follows that of the sector, with a system of stepped wage scales corresponding to annularity and functional weight.
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." Sector and KNAW • http://www.nwo.nl/beleid/genderdiversiteit Comment • Per 2017 KNAW featured an overall gender division of 667 male and 661 female staff (49,8% balance). Still, the Academy, as the voice and conscience of science in the Netherlands, continues to endorse the need for more gender balance in the higher echelons of academia, see remark in "Charter and Code Themes" in Action Plan. • During the stakeholder consultation, researchers confirmed that also in their day-today experience, gender balance has considerably improved in the last years, but that there is still a way to go; in the same vein, they pointed out the continued need for attention for equal opportunities for minority groups, cf. above sub 10.
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."
		Sector • [VSNU CAO](#) • [http://www.vsnu.nl/functie_ordeningsystem_ufo.html](#) **KNAW** • [https://www.knaw. /en/about-us/work/talentdevelopment](#) • [https://www.knaw.nl/en/about-us/work/talentdevelopment/working-on-your-career/in-company-training-calendar/incompany-trainingcourses?set_language=en](#) • [https://www.knaw.nl/en/about-us/work/talentdevelopment/phd-and-postdocs/phd-postdoc?set_language=en](#) **Comment** • KNAW is very active in supporting her employees with tools and trainings for career development, See Charter and Code Themes in Action Plan. The KNAW Career and Talent Development Centre offers a wide range of (funded) career development tools, in-company training courses and related services to all its staff, both temporary and permanent, for all ages. The offer has been thoroughly renewed and expanded as of 2018, with a focus on both skill development and vitality, and includes advice on training, finding a mentor, intervision and coaching, information on traineeships or secondment, career advice, job-to-job guidance and an internal job database. • See [https://www.knaw.nl/en/about-us/work/talentdevelopment/working-on-your-career/career-development-support-matchpoint](#)
29. Value of mobility	+	"Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual 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." **Sector and KNAW** • [VSNU CAO (art. 6.5)](#) • [http://www.nwo.nl/financiering/financieringsvormen](#) KNAW: see above, sub 28.

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." Sector and KNAW • VSNU CAO Comment • See above, sub 28.
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 possibly provided for under specific collaboration agreements or other types of agreement." National • Auteurswet • Rijksoctrooiwet 1995 • RICHTLIJN 2004/48/EG betreffende de handhaving van intellectuele-eigendomsrechten Sector • VSNU CAO (art. 1.20 t/m 1.23) • http://www.vsnu.nl/files/documenten/Domeinen/Onderzoek/The_Netherlands_Code_of_Conduct_for_Scientific_Practice_2012.pdf KNAW • In addition to the national and sectoral regulations, KNAW offers practical assistance in guarding and exploiting IPR through its Legal Services Department and, at a more operational level, through its Knowledge Transfer Office, see https://www.knaw.nl/en/institutes/kto
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)." Sector and KNAW • http://www.vsnu.nl/files/documenten/Domeinen/Onderzoek/The_Netherlands_Code_of_Conduct_for_Scientific_Practice_2012.pdf

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." KNAW • Academy Institutes are full-time research institutions with no teaching obligations. This is a very privileged position compared to universities. Still, since the Academy greatly values knowledge transfer and encourages cooperation with university research groups, most senior Academy researchers (PIs and institute directors) hold special chairs at universities. Cf. fact-and-figures section of Action Plan.
34. Complains/ 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." KNAW • https://intranet.knaw.nl/nl/personeel/gezondheid-en-veiligheid/vertrouwenspersoon-bij-de-knaw • https://intranet.knaw.nl/nl/personeel/klachten-en-bezwaren • Klokkenluidersregeling KNAW Comment • KNAW has fully-developed internal complaints procedures for employees at all levels of the organization, both centrally and at the individual institutes, including a confidential advisor. See links above. • In addition, KNAW has an independent scientific integrity complaint procedure, in conjunction with the Netherlands Board on Research Integrity. See: https://www.knaw.nl/en/institutes/klachtenregeling?set_language=en and https://lowi.nl/en/netherlands-board-on-research-integrity-lowi
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."

		National
		• [Wet op de ondernemingsraden](#)
		KNAW
		• https://intranet.knaw.nl/nl/personeel/inspraak
		• http://www.oroc.knaw.nl/welkom
		Comment
		• Participation in decision-making is well-established in The Netherlands, and in fact may be considered as part of its cultural DNA.
		• At the KNAW central level, this it is formally arranged (a) in the form of an active works council and (b) by regular consultations between the Academy as an employer and the relevant labour unions (the so-called Lokaal Overleg).
		• At every level of the KNAW workplace, in all Academy Institutes, the opinions of employees on decisions at hand is greatly valued and taken seriously, on a day-to-day basis. During the stakeholder consultation, employees confirmed their high satisfaction with their level of participation in decision-making.

SECTION 4: TRAINING AND DEVELOPMENT		
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 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." Sector and KNAW • The_Netherlands_Code_of_Conduct_for_Scientific_Practice_2012/ Code_wetenschapsbeoefening_2004_(2012) • VSNU CAO (art.6.8) • http://www.vsnu.nl/functie_ordeningsystem_ufo.html Comment • This is an integral part of the organization of KNAW research units. Progress of monitored in regular 'progress talks' and during countless informal moments. • As to the second part of principle 36, this is monitored in yearly output-reports and the six-year SEP evaluations.
37. Supervision and managerial duties	+	"Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, 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." Sector • The_Netherlands_Code_of_Conduct_for_Scientific_Practice_2012/ Code_wetenschapsbeoefening_2004_(2012) • VSNU CAO (art. 6.8) Comment KNAW researchers holding or assuming positions with supervising and/or managerial tasks are actively supported by KNAW to develop the appropriate skills and competences where needed, in the form of funded in-company trainings, see: https://www.knaw.nl/en/about-us/work/talentdevelopment/working-on-your-career/in-company-training-calendar/incompany-trainingcourses?set_language=en. The trainings provide for an apparent need as they are among the most popular facilities in the KNAW HRM-offer to employees.
38. Continuing Professional Development	+	"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." Sector and KNAW: see above, sub 28.
39. Access to research training and continuous development	+	"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, takeup and effectiveness in improving competencies, skills and employability." Sector and KNAW: see above, sub 28.
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." Sector and KNAW: see above, sub 28.

SECTION 5: OPEN, TRANSPARENT AND MERIT-BASED RECRUITMENT - CHECKLIST FOR ORGANISATIONS (TEMPLATE)

	Open	Transparent	Merit-based	Answer	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	+	Yes. https://www.knaw.nl/nl/de-knaw/werken-bij-de-knaw
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	+/-	Not formalized in one central document for all Academy Institutes. Action for 2019.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+	Fully, although not formalized as a distinct training procedure. KNAW does not deem this necessary though.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		+	Yes
5. Do we have a quality control system for OTM-R in place?	x	x		+/-	The control system consists of the public accountability in annual reports, see above, sub 2. KNAW is not in favour of implementing underlying quantitative report and control systems concerning OTM-R.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	+	Fully
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	+	Fully
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	+	Fully, and this remains a continuing point of attention.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x		+	Fully
10. Do we have means to monitor whether the most suitable researchers apply?	x	x	x	+	No formalized means, and not possible to formalize. Naturally, PIs know the leading actors in their field, but are also happy to be surprised by new upcoming talent.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		+/-	Cf sub 2.
12. Do we include in the job advertisement references/links to all the elements foreseen in the	x	x	x	+	Fully

	Open	Transparent	Merit-based	Answer	Suggested indicators (or form of measurement)
relevant section of the toolkit? [*see Chapter 4.4.1 a) of the OTM-R expert report*]					
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		+	Euraxxess is one of the avenues routinely used by Academy institutes for vacant positions. At the moment of writing, nine Academy vacancies were posted, see https://euraxess.ec.europa.eu/site/search?keywords=KNAW
14. Do we make use of other job advertising tools?	x	x		+	Fully
15. Do we keep the administrative burden to a minimum for the candidate? [*see Chapter 4.4.1 b)* [45]]	x	x		+	Fully
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [*see Chapter 4.4.2 a)* [45]]		x	x	+	Selection committees are routinely composed of experts, and in accordance with the relevant principles of the Charter and Code and OTM-R. KNAW does not keep "statistics on the composition of panels".
17. Do we have clear rules concerning the composition of selection committees?		x	x	+	See sub 16
18. Are the committees sufficiently gender-balanced?		x	x	+	See sub 16
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	+	See sub 16
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		+	Fully
21. Do we provide adequate feedback to interviewees?		x		+	Fully
22. Do we have an appropriate complaints mechanism in place?		x		+	Fully. KNAW does not keep statistics on (possible) complaints from rejected applicant, nor does it intend to.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				+/-	This is implicit in the Academy''s scientific ambitions ('always attract the best in the field') and indirectly returns in the SEP-evaluations.