

Erasmus School of Economics School Council 147

Date: Thursday 29 March 2018 at 10:00

Location: H 12-30

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#### Draft Agenda

1. Welcome and adoption of the agenda
2. Announcements
3. Minutes of the 146<sup>th</sup> School Council (text) *(approval)* ./.
4. Follow up issues of the 146<sup>th</sup> School Council

#### EDUCATIONAL MATTERS

5. From Student Council:
  - Update Sustainability *(information)* ./.
  - Exchange *(discussion)* ./.   
(annex may follow later)
6. Proposal adaption Milestone thesis process *(discussion)* ./.

#### ORGANISATIONAL MATTERS

7. Westerdijk Talent scheme *(discussion)* ./.   
(annex only in Dutch)
8. EUR Workload strategy *(discussion)* ./.
9. For information:
  - a. Resolutions Management Team January and February 2018
  - b. Postal Items Management Team January and February 2018
  - c. Action Plans NVAO & views Programme Committees
  - d. Report on Meeting Innovation Hub for members participation
  - e. Final list of next years' Student Council members and candidates SC
  - f. Challenge Accepted fund letter to & reply from secretary Trustfund
  - g. Allocation model
10. Any other business
11. Appointment procedure new dean *(information/discussion)* ./.   
Feedback regarding meeting 27-03 (with EUR Executive Board)
12. Closing

Draft minutes ESE School Council 146

Date: Thursday 1 February 2018 at 10.00

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Present: Student Council: Sibren Iwema (SI, Chair), Elena Vollmer (EV, until 11.00 hrs), Seungwon Kim (SK), Abdurrahman Calkin (AC), Yasmin Chen (YC), Nordin de Korte (NK; as of 11.00 hrs)

Personnel Council: Harry Trienekens (HT/vice-chair/chair Personnel Council), Vladimir Karamychev (VK), Rommert Dekker (RD), Ajay Bhaskarabhatla (AB), Lidewij Hickey (LH)

Other participants: Dean Philip Hans Franses (PHF), Vice- dean Ivo Arnold (IA), Nine van Gent executive secretary, replacing Head Dean's Office, Thomas Michelotti, (TM) President Faector, Secretary participation bodies Paula Endevelde (PE, minutes)

**Not present**: Student Council: Veroniek Visser (VV); Personnel Council: Brian Chung (BC)

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1. **Welcome** and adoption of the agenda  
10.05 start - the agenda is adopted as proposed.
2. **Announcements**
  - IA announces that the second phase of the institutional assessment has resulted in positive feedback for the EUR.
  - SI informs the SC members that he passed the issue with Accessibility on to the UC
  - SI informs all present that –at the request of the SC and after intervention of ESE dean - the Quiet contemplation room (Stilte ruimte) in the Tinbergen Building is now also open during the weekend.
3. **Minutes of the 145<sup>th</sup> School Council** (text)  
Adjustments:  
**Item 5a**: proposal merchandising. Change: "**AC will discuss this with marketing officers of EFR and Faector**" into: "**AC will request marketing officer to discuss this with EFR and Faector.**"  
**Item 11**: Change: "**RD: asks if the appointment process has been speeded up.**" Into: "**RD: asks if the hiring and appointment process has been speeded up.**"  
With the above-mentioned adjustments, the minutes are approved.
4. Follow up issues of the 145<sup>th</sup> School Council
  - **Renovation**: PHF: informs the SC that –most likely- the relocation to the E&N building will be postponed to December 2018. Adjustments to make E & N buildings more pleasant workspaces, will cost around € 500.000,-. Discussions with the neighbours about the lights of (new buildings on) the Woudestein Campus, are ongoing.  
The Polak building will re-open April 1.
  - **Use of English** in the Dutch Ba programmes:  
IA: informs the SC that the marketing department have set a plan to adjust the information (on website and in FAQs) as to that some courses in the Ba2 might be taught in English.  
Regarding the use of English slides: it turns out that the use of English slides is quite widespread: 40% in the Ba1 and nearly 100% in the Ba2. IA asks whether the School Council is in favour of changing the policy into: it is mandatory to use Dutch slides in the Ba1 and 2.  
EV points out that Ba2 should be seen as transition year. RD: adds that, with an English textbook, English slides are the most logical choice, however, in that case, a glossary as a transition to the Dutch exam should be available for students. The School Council will draft an advice letter on this and send it to IA.  
Regarding re-installing the questions re the English level of lecturers in the questionnaire: this will be incorporated in the suggestions for / comments on the questionnaire (see also item 10). *This item can be removed from the action list.*
  - **Update marketing**: AC will inform the SC next meeting.
  - **Investments challenge accepted fund**: SI requests all members to send in comments on the draft letter today. The finalised letter will be sent (early) next week (cc Dean).
  - Rumour cancellation **pilot weblectures**: IA informs the SC that the pilot is not cancelled and

that currently weblectures are being recorded for the statistics 1 course - guided by the educational officer. The course will not be radically redesigned. AC would like to request access to these weblectures for students in the Dutch Programme.

*This can be removed from the action list.*

- **Safeguard possibilities for researchers to install programming programmes:** NvG reports that EUR-wide inventory is still in progress; only a draft list of the programmes is available. Since the SC members would like to see this list, NvG will ask Reino de Boer to share this with SC members.

Matters arising:

AC: asks whether the privacy of TA's is safeguarded. IA will look into this and will be put on action list.

## EDUCATIONAL MATTERS

### 5. From Student Council:

- **Membership** of both School Council and Programme Committee

In a combined meeting of student members from PCs and SC, it was brought up that it is not desirable that students take a seat in both bodies, because it is important to have as much representatives in participation bodies as possible. SI adds to that it seems as strange that SC members have to approve their own membership of a programme committee. A discussion arises and EV notes that for PC Econometrics it is quite hard to find new PC student members, the extra restriction will not be helpful. HI contributes that the approval of PC membership also applies to Personnel Council members. SC members may refrain from voting when it is related to their own position in the PC. SI will take the comments back to the combined meeting.

- **Exchange**

YC: has been on exchange and is currently collecting information regarding ESE exchange (for example on the selection process; available places that were not filled in) She arranged a meeting with the exchange officer to discuss issues and solutions.

IA admits that it is a very important issue and that the applications for exchange increased hugely in the last couple of years (to 340 applicants now).

PHF asks whether students can explain this increase. EV suggests that the choice of valuable ESE minors is limited. YC adds that finding an internship for only two months is not easy, hence students opting for exchange instead.

YS will draft a report of the findings that will be discussed next SC meeting.

### 6. Evaluation Innovation Hub (QIP)

IA: informs the SC members that, next to this evaluation report, there will be an information session for all members of the participation bodies, regarding the tools of the innovation hub. (Preliminary date 22 February). The invitation for this meeting will be sent out shortly.

VK: The Personnel Council (PC) would like to share general comments on the report. These can be taken into account for next reports.

- First of all, the PC would have liked to see a summary of the main conclusions at the start of the report.

- The report is not an evaluation in the strict way: stating the effects of the implementations and financial investments that were made.

- The PC would have liked to see more focus on what benefits were achieved for the students

- The evaluation could have used more specific and objective criteria.

- Lastly, the PC would have liked to see smarter goals for the future.

IA: explains that a scientific evaluation was not the goal of the report. The QIP-team asked people involved (students, TAs and lecturers) whether they are satisfied with the innovation. A more scientific evaluation would take much more time, while it is important to move forward. AC adds that the 1<sup>st</sup> year ICT course, for which he is now TA, he can see the improvement.

RD: notices that many lecturers are too busy to innovate. IA explains that invested time can be

covered in the proposal and some tools, once implemented, might yield extra time. The education officers are available to support.

## **7. Milestone thesis**

IA: informs the SC that some issues the Programme Committees brought forward, need to be addressed; the Programme Management is also open for recommendations from the SC that can be incorporated in the TER. Since the main objections seem to concern the Master programme, the Programme Management would like to receive SC's advice separately for the Bachelor and the Master.

HT: the main concern of the Personnel Council is that good (master) students may suffer from underperforming students. To remove this concern and add more flexibility, the following solutions are discussed.

Solution 1: The current proposal states that 'the thesis supervision can be stopped after 1 year'. To accommodate well performing students, this could –for example- be changed into 'The thesis supervision will be stopped after 1 year UNLESS the student hands in a proposal, accepted by the Examination Board'. The proposal must include good reasons to explain why the thesis process should take longer. The Examination Board will need specific indicators on which they base their decisions.

TM: adds that, in general, well performing students are also good planners. He is more concerned regarding the strict starting point and end dates, well performing students might be helped with more (for example 5) starting dates.

IA: asks whether this applies for all Master Programmes? The Master Programmes E&BE seemed to have no objections to this. This issue applies mostly to econometrics, where students combine internships with thesis writing. IA will also seek Academic directors' advice on this.

RD: adds that for some students the difficult exams are bottlenecks. He states that, when students start their thesis after all exams are passed, 99% will finish within the 1-year timeframe.

Solution 2: To start the proposal as a pilot in the master AAC. The School Council's proposal to work with a contract/plan for every Master student can be monitored within this pilot. Downside is that actual results will be only available in 2019/2020. Furthermore, the results of AAC Programme, that already is organised as proposed, may not be transferable to other programmes.

The SC members will discuss this further outside the meeting and will send the Programme Management their advice letter.

## **ORGANISATIONAL MATTERS**

### **8. Resolutions Management Team November and December 2017**

No questions / comments

### **9. Postal Items Management Team December 2017**

No questions / comments

### **10. Any other business**

AC: shares the concern of the PC AAC regarding the low response rate of the course evaluations. Suggested is to split the questionnaire into two parts: before and after the exam. The latter might be in the form of a paper sheet.

IA: replies that other PCs shared their concern as well. Since the new questionnaire was just introduced, the Programme Management proposes to take the current year to collect comments/suggestions and make a well-based decision on how to proceed.



VK: adds that he is currently collecting information from colleagues regarding this topic, he will send this to IA as well.

TM: As chair of the Convent of Study Associations, he might need some advice on the covenant that is currently being drafted. NvG replies that Wietske Rowaan (representing ESE MT) will be present at the meeting today's afternoon.

RD: asks where he can send feedback regarding the new R&O forms/format. This can be sent to the Office Managers.

RD: has some complaints regarding the EUR preferred book company. NvG requests to send these to her, she will forward these to University Service Centre (central procurement).

## **11. Closing**

The meeting is closed at 12.01 hrs.

1.	<b>Tenure track &amp; Evaluation</b>	Evaluation Tenure Track - Further adjustments CBBA criteria - Is internal competitiveness felt? - Does student evaluations differ for male/female teachers?	Replacement MB	SC 148
2.	<b>Quality Impetus</b>	Update every other meeting	IA	SC 148
3.	<b>CFA</b>	Is ESE willing to be a partner in level 1 exam? MT wrote a support letter, still in progress	IA	SC 147
4.	<b>Renovation</b>	Update when available	PHF	2017/2018
5.	<b>TA</b>	Request input from PC's on which kind of tutorials are preferred	Student Council (EV & SI)	SC 148
6.	<b>Sustainability at ESE</b>	How to incorporate sustainability into ESE education	Student Council (SK)	SC 147
7.	<b>Update marketing</b>	Is it possible to use slides during lectures' breaks for ads	AC	SC 147
8.	<b>Safeguard possibilities for researchers to install programming programmes</b>	Ask RdB to share draft list of programmes with SC	NvG/SWW	SC 147
9.	<b>Privacy TA</b>	How this is safeguarded	IA	SC 147
10.	<b>Membership of both SC and PC</b>	Discuss input of SC members in next combined meeting	SI	SC 147
11.	<b>Exchange</b>	Report on issues and solutions	YC	SC 147

## **Erasmus School of Economics Education in Sustainability.**

Erasmus School of Economics (ESE) gives the minor in advancing new perspectives on economic thinking - sustainability transitions in Rotterdam. It is remarkable that combine both theories and practice together in sustainability. However I believe that Erasmus School of Economic can gives the more opportunities in sustainability. If we considering the fact that minor is only open for 3<sup>rd</sup> year students, and short courses there should be room for improvement in sustainability in sense of societal impact. Thus here, I suggest Erasmus School of Economics Sustainability Centre that covers the current problem and gives the further opportunities in sustainability.

### **Erasmus School of Economics Sustainability Centre**

Erasmus School of Economics Sustainability Centre will gives a lot options in educations and fit in to the Erasmus School of Economics atmosphere. There are several programs will be given from Erasmus School of Economics Sustainability Centre.

**Set up an eco-rep program:** Eco-rep program creates the awareness and give the incentives on engage students on sustainability and spread awareness in our campus. For instances, participation in recycling contests, sustainability events, monitor sustainability behavior, and be ambassadors of the school's sustainability program. People would love to participate in the program. Erasmus School of Economics Sustainable Academy will have central role for this. The contest initiated from student/staff section can give the contest or initiatives that perfectly adjusted to Erasmus School of Economics.

**Campus as educational field:** Erasmus School of Economics has a H-building and it is the perfect place for applying sustainability practices As there are so many initiatives that can be done at a campus that can be applied in other places such as the home, organization, or a municipality. After they have experiencing their initiatives on our campus, students/staff members give the societal impact on the society.

**Improving independent study:** Erasmus School of Economics has a tight curriculum, and does not have room for adjusting new course in the curriculum; the project groups driven by student can helps to improve an education in sustainability. Project research done by students would also develop academic research skills, and gain the knowledge about practical issues. In the Erasmus School of Economics Sustainability Academy gives extra courses for sustainability and advice on their research.

**Field trips/Attend a conference:** Organizing study trips by Erasmus School of

Economics Sustainability Academy gives the opportunity to the students to check how the world works. Study trip or field trip will give the insight and lead to have more awareness and initiatives. There are a lot of opportunities in the Netherlands, because there were a lot of sustainability program outside of the campus. For instances, we can organize the short trip on the company which are working on the sustainability. The benefits of study trips are not only benefit to the students, they also like to support the sustainability for our school later.

**Guest Lecture.** In case we don't have researchers to give an education on sustainability, Erasmus School of Economics Sustainability Centre will invite a speaker for the students/staff. In other schools, sometimes the curriculum is covered by visiting professors, including the leaders from NGO, such as green peace will inspire students on sustainability topic.

**Give credit for activity:** Since Erasmus School of Economics allows internship on their curriculum. During the summertime holidays, if there are students wants to participate in voluntary program or internship in sustainability, extra credit on these activities may people get interested on sustainability activities during their holidays. RSM Sustainability gives the career advices in their faculty, for the people would like to engage in sustainability internships.

## Adaptation Thesis Milestones

- Each thesis has a default starting date and a default maximum duration.
- The defaults can be programme dependent.
- When a student wants to deviate from the default starting date and/or the default maximum duration, the student has to enter a request describing the new thesis process. The request must contain the rationale behind the new start date and/or maximum duration. If the request is approved by the examination board, start date and/or maximum duration are changed accordingly. The request must be entered at least 21 days before the intended starting date.

# Universiteit vindt niet de juiste vrouw

**PROFS** De universiteiten van Wageningen en Rotterdam benoemen minder vrouwen tot hoogleraar dan is afgesproken.

**Gerrit-Jan KleinJan**  
REDACTIE ONDERWIJS & OPVOEDING

De universiteiten van Wageningen en Rotterdam slagen er niet in om voldoende vrouwelijke wetenschappers te vinden voor de functie van hoogleraar. Extra geld dat het ministerie van onderwijs vrijmaakt voor meer vrouwelijke professoren laten ze liggen. Van de veertien universiteiten lukt het alleen deze twee niet om geschikte vrouwen te vinden.

Vorig jaar maakte toenmalig minister van onderwijs, cultuur en wetenschappen Jet Bussemaker vijf miljoen euro vrij om honderd extra vrouwelijke hoogleraren aan te stellen, 1.000 euro per hoogleraar. Tot afgelopen weekend hadden universiteiten tijd om bij onderzoeksfinancier VWO een verzoek in te dienen voor te zogenoemde Westerdijk-leerstoelgenoemd naar de eerste vrouwelijke hoogleraar van Nederland in 1917. Het ministerie vindt het onwenselijk dat minder dan twintig procent alle hoogleraren vrouw is.

Door de verdeling van leerstoelen tussen de universiteiten een verdeeltel af. Zo heeft de Erasmus Universiteit recht op zeven extra vrouwelijke hoogleraren. De instelling diende aanvragen in. Wageningen heeft recht op vijf extra vrouwelijke professoren, maar vond er uiteindelijk maar één. De universiteiten laten hierdoor 1.000 euro (Rotterdam) en 1.000 euro (Wageningen) liggen. Bestuurslid Hanneke Takkenberg, het Landelijk Netwerk Vrouwelijke Hoogleraren (LNVH) noemt het 'niet erg zorgelijk' dat de twee universiteiten er niet in slagen om voldoende vrouwen aan te dragen. "Het is ok niet goed voor het imago van de universiteiten."

Voor Wageningen Universiteit was onhaalbaar om meer vrouwen aan te dragen, zegt een woordvoerder.

Vanwege de strikte eisen die aan een hoogleraarschap verbonden zijn en ook de omvangrijke procedure om een hoogleraar te benoemen. "Erg jammer, maar we kunnen niet zomaar een hoogleraar uit de kast trekken", aldus de zegsman.

De woordvoerder van de Erasmus Universiteit heeft geen verklaring voor het lage aantal aanvragen. "Ik moet je een antwoord schuldig blijven, daar moeten we nog eens goed naar kijken", zegt hij. "Is het de cultuur van de universiteit? Dat zou kunnen. Strookt de planning van de faculteiten niet met het tijdsplan dat NWO voor ogen had met deze beurs? Dat zou evenzogoed kunnen."

Takkenberg vraagt zich af of honderd extra vrouwelijke professoren genoeg is om een verandering door te voeren. "Net als in de rest van de maatschappij hebben vrouwen te kampen met onbewuste vooroordelen. Mannen worden eerder als *high potential* gezien. Je kunt honderd vrouwen aanstellen, maar als de cultuur niet duurzaam verandert zullen ze snel weer weg zijn. Uit gesprekken die we jaarlijkse voeren zien we dat de wil er bij universiteiten is, maar sommige komen van heel ver."

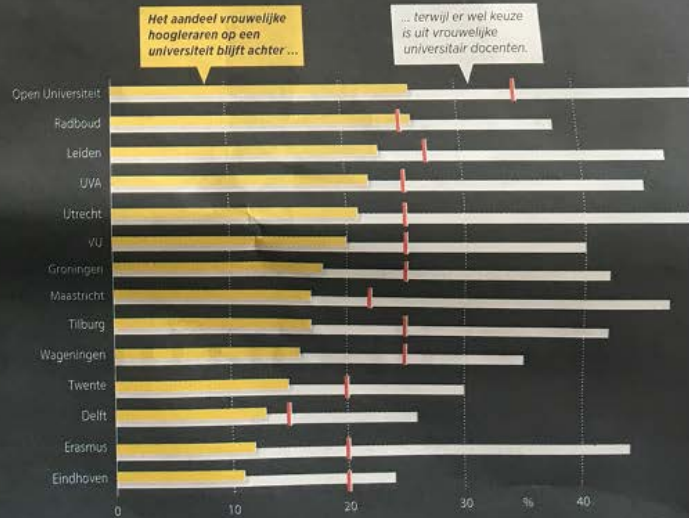
*'Sommige universiteiten komen van heel ver'*

Dat het wel degelijk kan, meet vrouwelijk hoogleraren in een mannelijke omgeving, toont de Technische Universiteit Delft. De universiteit, die recht heeft op zes extra hoogleraren, heeft daarbovenop nog drie extra aanvragen ingediend. De technische universiteit trekt traditioneel weinig vrouwen, maar heeft sinds een paar jaar onderzoeksprogramma's opgezet door vrouwelijke talenten, zegt woordvoerder Karen Colet. "Heel bewust met het doel om uiteindelijk meer vrouwelijke hoogleraren te krijgen." Op 8 maart (internationale vrouwendag) maakt NWO bekend welke vrouwen hoogleraar worden.



Percentage vrouwen in wetenschappelijke functies

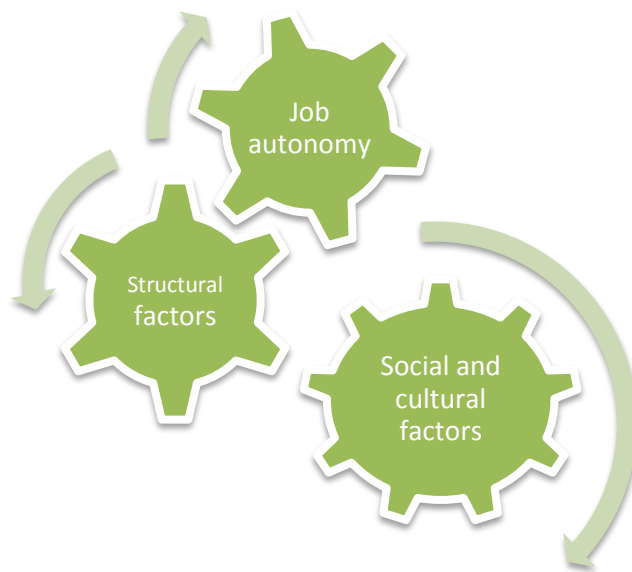
■ Vrouwelijke hoogleraren  
■ Vrouwelijke universitair docenten  
| Streefcijfer vrouwelijke hoogleraren in 2020



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# Workload Strategy

**Erasmus  
University  
Rotterdam**

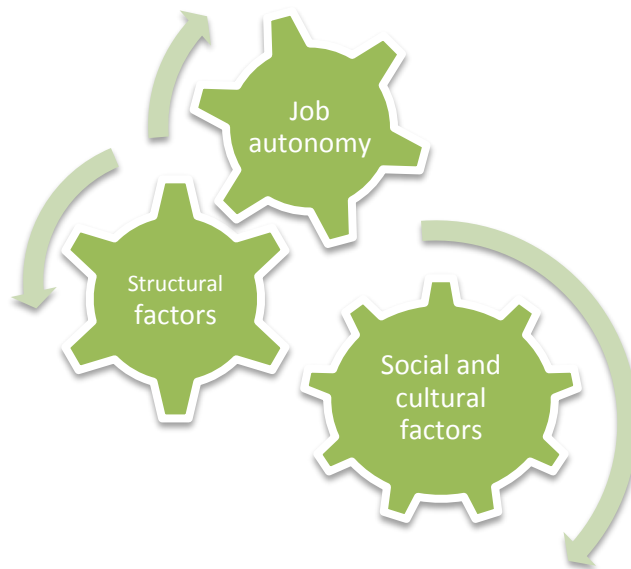


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## Version management

Version	Date	Manager	Most important changes	Decision	Date
11.12.2017		J. Schoone N. Lourens	<ul style="list-style-type: none"> <li>Changes in organisation of the implementation of the action plan</li> <li>Change in definition of job autonomy</li> </ul>		11-12-2017
15-12-2017		J. Schoone N. Lourens	Changes following talks with the Erasmus University Rotterdam Staff Affairs Consultative Platform (EUROPA) and the University Council		15-12-2017
19-12-2017		J. Schoone N. Lourens	Latest changes (layout)		18-12-2017

# 1. Introduction

## Background

There is a need for a workload strategy; as at all universities, the workload at the Erasmus University Rotterdam (EUR) is high. Perceptions of the workload within EUR have been rising since 2011. An additional reason for the strategy is the letter from the inspectorate which found 'violations' and formulated requirements for policy relating to the workload and policy on aggression and violence (reporting and registration system and company rules).

The number of employees who perceive the workload as (far) too high is rising

Year	% of employees who perceive the workload as (far) too high
2011	39.7
2014	46.6
2016	48.1

In the interests of acting as a good employer, the EUR feels a responsibility to manage the workload. People are the capital of the EUR and we attach great importance to the vitality of our staff and take care for good employment practice seriously. Work pressure has many different aspects and it is therefore important to formulate a specific strategy for the problem.

The workload theme is reflected in a number of national and EUR initiatives;

- National research by the Netherlands Trade Union Confederation (FNV) has already shown earlier that pressure of work is a problem at all universities.
- The Association of Universities in the Netherlands (VSNU) devotes close attention to workload. Workload is currently an important topic in the negotiations on the new collective labour agreement (CLA).
- Workload strategy also has priority within the Social Fund for the Research Sector (SoFoKleS) research network. A survey of pressure of work has been conducted among a small group of scientists. In response to this, the results of the employee (satisfaction) surveys of universities were analysed in more detail. This led to the report entitled '*Workload and pressure of work of academic staff*'. Further to this, a stakeholders meeting was organised in October 2017 in order to gain more insight into:
  - The workload of scientists with different profiles and in different stages of life;
  - Potential solutions in order to realise a healthy workload;

- Steps that SoFoKleS can take in this.
- In response to the EUR's 2016 employee survey, all organisational units were asked to conduct an analysis of points for attention in their employee survey results. Workload is a priority here. The plans were ready on 1 December and had already been shared in draft form with Human Resources (HR) and the Executive Board.
- A working group was set up by EUROPA and the University Council to investigate the underlying causes of pressure of work at the EUR and to submit solutions for this. This report is ready. The working group advised the Executive Board on the basis of the outcomes<sup>1</sup>.

### *The EUR-wide plan: accelerator of the plans of faculties and services*

The EUR-wide workload action plan is largely based on the conclusions of the EUR survey by the workers' representation, the recommendations of the Work Pressure Working Group to the Executive Board and the proposals of faculty and service directors. The action plans of the faculties and services form the basis for the strategy and are the success factor for solving the workload problem. This EUR-wide workload action plan is an accelerator and driver of the measures taken by the faculties and services. After all, some measures are beyond the control of individual faculties and services or may be easier to organise at the central level for efficiency reasons (e.g. training activities).

The responsibility for formulating and implementing measures is assigned at the lowest possible level in the organisation. We are cautious about formulating frameworks, rules and guidelines that are imposed from above, because faculties and services and the academic departments, sections and teams within these themselves have the greatest influence on most workload issues.

### *Development process*

Before the summer of 2017, all organisational units had already shared their employee survey action plans with HR, including the workload action plan. The faculties later presented their action plans in the Faculty Operational Management (OFB)-HR meeting on 5 October 2017 and exchanged best practices. The workload strategy was also discussed with all organisational units in the autumn bilateral meetings. In a meeting on 16 November 2017, a presentation of the 'Workload EUR' study of the workers' representation was given to all operational management directors. A number of issues calling for a joint or EUR-wide approach were also formulated with them in an interactive working session. The issues were then translated in terms of an initial step for an action plan. On this basis, the plan was developed in more detail and was then discussed with all relevant fora within the EUR.

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<sup>1</sup> Letter from the Work Pressure Working Group dated 27 November 2017.

## 2. Employee Survey 2016

The Employee Survey 2016 was conducted in November 2016. This showed that the EUR generally performs well as an employer. We see positive trends. The EUR score for general satisfaction was 7.1, compared with a general satisfaction score of 6.9 in 2014. The response rate is also rising. The most important components determining general satisfaction also show a positive development:

Theme	2016	2014	Difference
Satisfaction	7.1	6.9	0.2
Engagement	7.3	7.1	0.2
Commitment	7.2	6.5	0.7
Best employers score	6.9	6.6	0.3

With a closer look at the outcomes, a number of strong points stand out:

- The *appreciation for the EUR* as an employer has increased;
- The scores in response to questions about the person's *direct supervisor* have risen at the EUR-wide level;
- The questions concerning *development opportunities* are very highly appreciated.

However, there are also outcomes that call for our attention:

- 48% of employees perceive the workload as 'far too high';
- The score for 'calling people to account for their behaviour' remains low: 5.2;
- The score awarded for the question about equal career opportunities within the respondent's 'own organisational unit' was low: 4.9 compared to 5.9 in 2014;

Absence rates can certainly be described as low, at 2.96 (academic staff and supporting staff combined, with absences very low among academic staff) and a reporting frequency of 0.56. Workload is an important cause of (long-term) absences. The high workload is not reflected in the absence figures at the EUR. However, absences are not a good measure of effects within universities. Among academic staff, dubious absences are common. Scientists simply continue working (at home if necessary), even though they are not functioning at their best, or they compensate for this at a later time. The scores should therefore be interpreted in this context.

*Scores of faculties and services for workload*

Faculty/service	Enough time to do the work properly (average score, scale of 1-10)	Workload % (far too high)
EUR	5.2	48.1
General Management Directorate (ABD)	4.2	64.1
Erasmus School of Economics (ESE)	6.0	36.1
Erasmus School of History, Culture and Communication (ESHCC)	4.2	71.6
Erasmus School of Law (ESL)	5.5	44.4
Erasmus School of Social and Behavioural Sciences (ESSB)	4.9	55.6
Faculty of Philosophy (FP)	5.7	36.9
Institute of Health Policy and Management (iBMG)	5.8	43.1
International Institute of Social Studies (ISS)	5.5	51.2
Rotterdam School of Management (RSM)	5.5	42.0
University Library (UL)	5.3	39.1
USC	4.8	50.6

### 3. Survey by workers' representation of EUR workload

The Workload Working Group initiated a survey of the pressure of work within the EUR. The report on the survey is the result of an alliance between EUROPA and the University Council and other workers' representation bodies (service committees etc.).

This qualitative survey compared faculties and services (and the departments within them) with average, low and high scores for workload perceptions. The survey consisted of 10 open interviews with employees in different job groups per organisational unit, followed by group meetings per organisational unit. <sup>2</sup>

The purpose of the interviews and group meetings was to investigate the factors that cause high workloads and to find workable solutions in practice.

The survey provides important insights that appear to be representative of the EUR as a whole and therefore provide a guide for the measures that can be taken.

#### The term 'workload' and the conceptual framework

The EUR study places the term 'workload' in a workable theoretical framework.

#### Workload

The participants in the survey do not regard working hard as a problem. Workload is not negative by definition; a degree of work pressure also has a motivating effect. Pressure of work arises when there is too little time to do things properly. Pressure of work arises in a *combination* of heavy demands together with a lack of control over a person's own work, a lack of time to do the work really well and to reflect on the person's own work and a lack of appreciation or feedback;

Important outcomes of the survey are:

- Pressure of work arises through excessive demands in combination with a lack of control (inability to set priorities, not daring to say 'No'), a lack of appreciation and

feedback (is it good enough in the time available?) and a lack of time for reflection, improvement and delivery of quality;

- Academic staff often make a distinction between internally imposed pressure and external pressure: personal ambitions versus the volume of tasks;
- An initial conclusion is that there is a relationship between workload and the high standards set for people (and that people set for themselves). However, a high workload does not automatically lead to feelings of pressure of work.

### *Factors that influence workload*

*Context: shrinking resources and staffing*

The context in which universities operate is important: budgets are being cut while the number of students is growing, as is the growing pressure to account for work (reporting). Organisational changes often have the character of a reorganisation: cuts in supporting jobs, digitisation of the work, internationalisation and the introduction of small-scale teaching.

*Increasing and changeable (unpredictable) workloads*

The academic staff face a more demanding package of work in relation to teaching tasks. The administrative tasks are increasing. The pressure for publication remains high. Academic staff perceive the increase in monitoring tasks and the increased demands to account for responsibilities and for reporting as bureaucratic. More rules lead to less autonomy. In the following jobs, a lack of transparency, ad hoc working methods and lack of clarity regarding roles, tasks and responsibilities are perceived.

### *Workload conceptual framework: upward and downward spiral*

Workload is a problem with many faces: many factors influence pressure of work at the same time, and factors can have a positive or negative impact on each other. An organisation can find itself in either a positive or a negative 'flow'. The basic condition for creating a positive flow is to create a supportive working environment for employees. A supportive working environment invites collaboration between employees, offers scope for learning, is a transparent organisation, affords a degree of autonomy and gives people a sense of collegiality. The organisation uses both structural and social/cultural influencing factor in order to be able to deal with workload as effectively as possible. This applies all the more for a university, since this is a type of organisation in which competition (and, therefore, pressure of work and pressure to perform) is always 'part of the game' and we must therefore always design our organisation to accommodate this.

*Structural factors:*



- Transparency regarding responsibilities, roles and tasks, transparency regarding the individual workload of people, appointments and career opportunities. This strengthens people's self-steering capacity.

### *Social/cultural factors*

An organisation distinguished by:

- A culture in which it is acceptable to say 'No';
- Giving and receiving feedback is normal;
- Compliments are given and appreciation is expressed;
- Good leadership: supportive leadership. This type of leadership does not focus on giving orders and on details, but gives employees leads for working independently;
- Collegiality and close social relationships at work;
- (Mentally) safe work climate.

### *Autonomy in the work*

The term 'autonomy' is not defined and operationalised in the survey. However, many examples of (a lack of) autonomy are mentioned.

## Recommendations of the EUR Workload Working Group

The working group recommends:

- *Increase the availability of staff: check whether flexible contracts do not lead (unnecessarily) to uncertainty and unpredictability at both the level of the entire organisation and at the individual level;*
- *Increase the transparency of roles and responsibilities, career opportunities and the distribution of teaching tasks. This leads to more autonomy in the work;*
- *Increase the efficiency of working processes, ICT and administrative support.*
- *Minimise ad hoc work;*
- *Reorganise the education: create teaching-free periods throughout the year and create a teaching stop in the summer. Create moments in which teaching staff can devote themselves entirely to research;*
- *Improve the leadership;*
- *Strengthen a safe work climate.*

## 4. Workload action plans of faculties and services

All faculties and services have formulated an approach in which they analyse the results of the 2016 Employee Survey and formulate solutions for bottlenecks. Workload is an important part of the plans. The faculties and services have named workload within their organisations and conceived solutions to address the pressure of work. The senior management has stated that it takes workload very seriously. Workload is not something that is imposed on the organisation externally; managers can have a positive influence on controlling workloads themselves, through their style of communication, by making workload open to discussion in a safe setting and by maintaining a dialogue with each other as managers.

### Issues raised in relation to workload

The faculties state that in general, pressure of work is inherent to working in a university. Engagement is high and employees have strong intrinsic motivation. The factors mentioned for workload within the faculties are:

- **Lack of clarity** regarding roles, tasks and responsibilities, lack of transparency concerning the workload of employees;
- Increase in the **workload in education**: more students and more courses, while the staff is not growing accordingly;
- **Bureaucracy**, 'red tape', excessive practice of control, accounting and reporting;
- **Work climate**: culture in which 'no-one ever says 'No'', undesirable conduct (also by students in relation to EUR staff), lack of social cohesion;
- **Leadership** is not sufficiently focused on supporting and coaching people. Managers are not appointed on the basis of management and leadership skills, but on the basis of academic eminence;
- **Insufficient support and facilities** in financial, administrative and ICT terms.

The emphasis in the supporting services is slightly different. Here, the workload appears to be related more to autonomy in the work:

- **Insufficient clarity and transparency** regarding roles, tasks and responsibilities;
- **Inefficiency in processes**. Employees work in a complex administrative context in which the processes do not contribute towards efficacy in the work;
- **Safety of work climate**: expectations are not always clear. Sometimes there is a 'result-oriented culture' with insufficient social cohesion;
- **Leadership** is not well equipped.

Solutions often mentioned by faculties and services are:

- Investing in leadership;
- Making workload open to discussion in the Performance and Development (P&D) interviews, including at the level of academic departments, sections and teams;

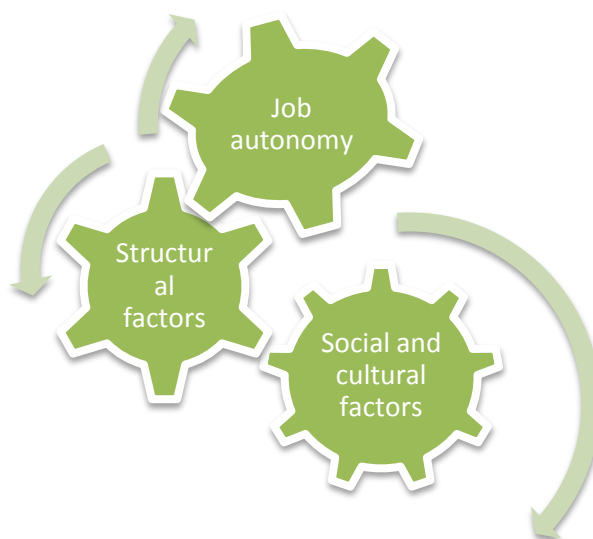
- Increasing transparency with regard to career opportunities, responsibilities and powers;
- Investing in social relationships;
- Expansion of staff (academic staff);
- Review of educational targets.

An overview of the solutions formulated by the faculties and services is presented in Appendix 1.

## 5. EUR-wide workload strategy

### 5.1 Theoretical model

The EUR-wide workload plan uses the definitions of workload in the EUR workload survey. We follow the 'positive spiral' concept in the EUR workload survey. This phenomenon involves a positive flow in which the factors that have a positive impact on perceptions of workload are largely present and reinforce each other (structural, social/cultural factors and job autonomy). This gives rise to a multiplier effect in which interventions are mutually reinforcing:

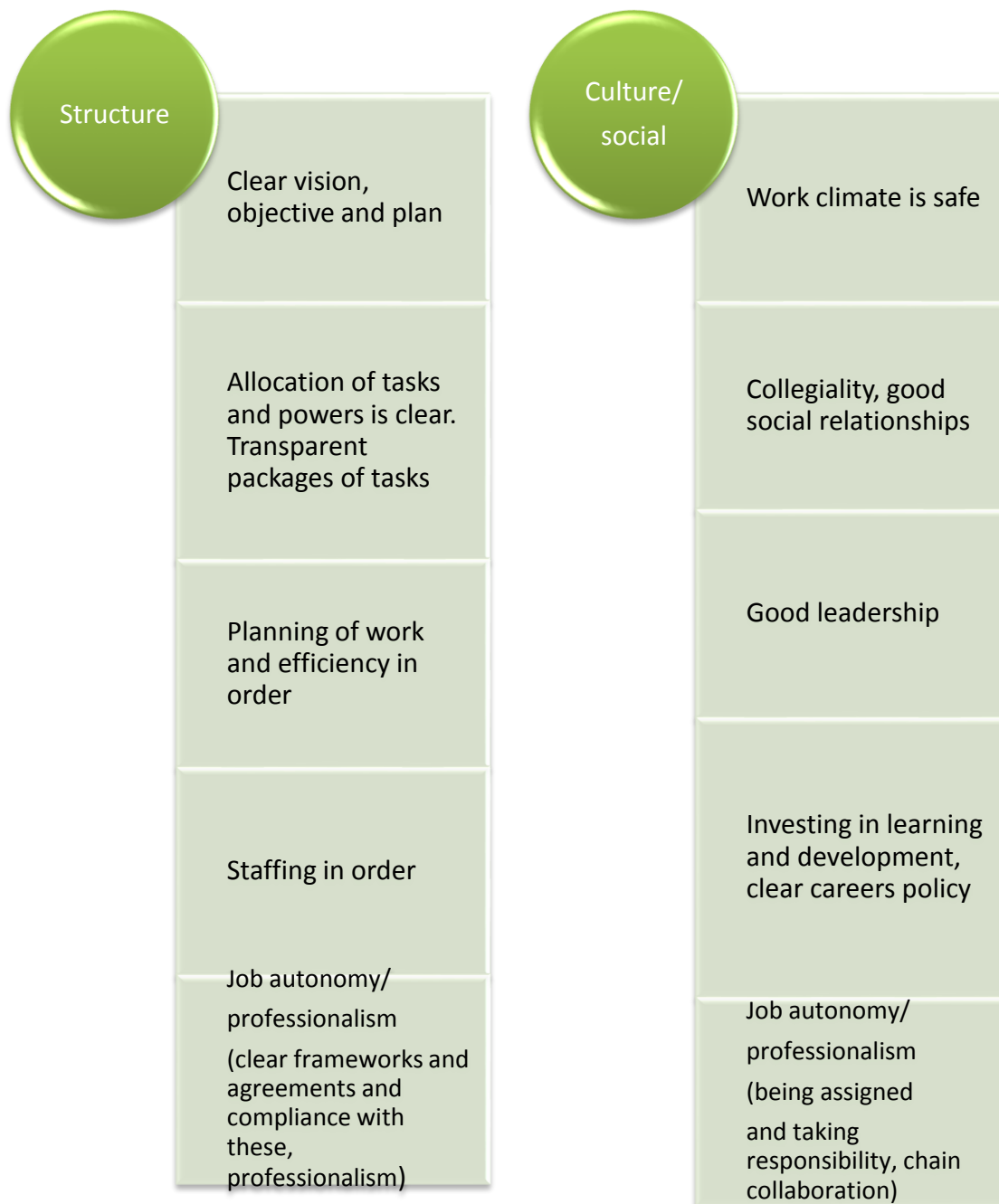


The concept of 'job autonomy' from the workers' representation workload survey requires further operationalisation. We regard 'job autonomy' as 'receiving and taking professional scope'. The degree of 'professional scope' that employees hold is determined by the extent to which employees show capacity for action. Capacity for action is not a personal quality, but the capacity of a person to act in a particular environment under particular conditions. This capacity for action is influenced partly by factors such as *structure* and the *culture* of the organisation and by the *competencies* of the employee. The competencies of employees determine whether, how and to what extent they actually make use of the available scope.

The *structure* concerns clear tasks, roles and powers; clear boundaries for responsibilities and regarding what is and what is not permissible. *Culture* is related to a safe work climate: do employees find support in a team or from their supervisors? Is there a dialogue in which matters can be discussed transparently and in confidence? Taking professional scope also calls for specific employee *competencies*: expertise, a result orientation, flexibility, assertiveness, representativeness and commitment. 'Job autonomy' cannot be considered separately from the context in which people work. That context is distinguished by chain-

oriented work and working in teams. The links in the chain are interconnected and there is mutual cohesion. The actors in the chain give direction and are directed. Professional scope is limited and determined by the other links in the chain. Working in teams challenges people to take responsibility. After all, in teamwork, the team members are dependent on each other.

The interventions proposed in this plan are intended to ensure that structure, culture, competencies and context reinforce each other in a positive spiral: the lights switch to green! The vision of 'job autonomy' outlined in this model shows which buttons have to be turned in which direction in order to realise this effect.



## 5.2 Measures already being implemented

Naturally, EUR-wide measures are already in force and policy initiatives have been taken that influence the workload, such as:

- EUR-wide implementation of the P&D format, which affords scope for competencies, dialogue and feedback;

- Developments in the field of diversity and inclusion that have a positive effect on perceptions of the work climate and the workload:
  - Offering inclusion modules to all employees with the aim of raising awareness of unconscious prejudices and guidelines for dealing with these, including leadership (in development, implementation in 2018);
  - Extending exemption from teaching after maternity leave;
  - Culture assessment relating to diversity and inclusion (zero-measurement and follow-up measurements).
- Offering a specific development path within an academic career focused on teaching;
- Career in Progress development offer via the Training and Development Platform (TOP), the Vitaal@Work offer and the health check.

### 5.3 Measures (additional to workload action plans of faculties and services).

Most measures can easily be taken up by the faculties and services themselves. This concerns measures that require an EUR-wide approach.

#### 1. Measures creating conditions

##### *Employee survey action plans and workload*

The workload action plans of the faculties and services comply with professional requirements: clear analysis, feasible objectives derived from this and their translation in terms of concrete results that are verifiable and measurable. The faculties and services monitor the implementation of the plans and account for this to the Executive Board. Where possible, KPIs are formulated.

##### *Workload menu*

HR Policy is working on a menu that includes the factors and solutions relating to *structure* and *culture*.

##### *Facilitating dialogue*

The workload strategy is not a matter for HR. Everyone (the Executive Board, senior management, middle management and employees) can exert an influence on workload management. The senior management shows ownership of this issue. The senior management agrees to exchange ideas regularly, in depth, on the theme of workload in relation to their own convictions and actions. The objective is to offer an action perspective to senior management.

**Action:**

- All organisational units to draw up plans for employee surveys and workload, monitoring the implementation and accounting for the results to the Executive Board.
- Production of menu: visualisation of the issues and the potential solutions. Every faculty and service can prepare a custom menu based on the current issues;
- Organising senior management dialogue sessions on workload management.

**2. Measures relating to structure**Staffing and tasks: steering of staffing

The EUR Workload Survey report refers to the problems relating to the availability of staff. The increase in the number of students and programmes has not translated into an increase in staff in the faculties (academic staff). Workload is a multi-faceted problem and addressing it calls for an approach on several different fronts. One of these may be an adjustment in staffing. This is entirely within the power of the faculties and services and the decisions must therefore be taken there. This requires the faculties and services to steer staffing.

**Action:**

- Knowledge of future developments;
- The translation of this in terms of quantitative and qualitative consequences (Strategic Personnel Planning);
- Developing potential scenarios;
- Making sound investments.

Improvement of self services

The trend towards self service is not in question, but the support systems must be user-friendly. This is about the look and feel, number of clicks, speed, uniform window handling and clear and simple procedures and guidelines, for example on billing. Where support is required for the system or for the interpretation of the guidelines, this must be provided.

A project with this objective has recently been started: the 'Optimisation of the ESS portal' project, with the above goals. As part of the 'EUR-wide measures', the following will be added to this:

- Single sign on;
- Improving management information;
- Delegation possibilities.



These measures save time and improve comfort.

**Action:**

- Expansion of 'Improvement of self services' project with the above additional objectives.

Effective meeting skills

- Optimal preparation (preparation of agendas, sending documents) and execution (structuring);
- Follow-up action: reporting, monitoring agreements;
- Effective meeting techniques of both the chairman and the participants. Also experimentation with other innovative meeting forms;
- Reducing the number of fora/meeting moments (see also 'Regulatory Burden Task Force').

**Action:**

- Offering training sessions in meeting techniques Attention to other forms of meeting, including 'coaching on the job';
- Circulating 'best practices';
- Checking the value and need for fora/meeting moments.

Making workload open to discussion in the P&D interviews

Workload is still a taboo subject. Certainly in the (competitive) university setting, workload should be a normal topic of conversation. This forms part of leadership and the personal development of employees. We secure this dialogue by including workload as a separate topic in the P&D interviews, at the level of teams, academic departments and sections and at the individual level. The formats will be adjusted to this. We are also developing a practical tool that managers can use in their interviews. The tool is a check-list of subjects supplemented by instruments that can be helpful in conducting the interview with employees on well-being in a broad sense.

**Action:**

- Modification of P&D form: making 'workload' a separate section;
- Development of tool/check-list for dialogue on 'well-being' for a good interview.

### 3. Social and cultural measures

### Embedding of the theme of 'workload' in leadership programmes

The workload problem will be given a prominent place in the vision of leadership to be drawn up, as well as in the leadership programmes. New themes include:

- Knowledge of workload, pressure of work and identifying stress;
- Making workload open to discussion;
- Making workload manageable (what can I do myself to reduce pressure of work and make workload manageable?);
- Problem-solving capacity as a competency required for autonomous action;
- The courage to address problems and take decisions.

#### **'Tough love': clarity and compassion**

Managers focus less on directing and control (micro-management) and more on giving scope, i.e. on genuine communication and developing mutual trust. This involves creating a balance between giving scope and keeping control. Managers are able to show gratitude, are focused and genuinely engage with the other person and at the same time are clear about their intentions and what is and is not permissible ('No' is an answer too'). Managers and team members continually conduct a good dialogue with each other and give each other critical feedback *because* they are working for the same goal and have each other's best interests in mind.

#### Action:

- Embedding in leadership programmes and vision.

### Training sessions on workload and work stress

TOP offers a large number of training sessions in the field of leadership and management. In addition to this, training sessions aimed at the following will be developed:

- Expanding knowledge of the causes and consequences of pressure of work in a university setting;
- Recognising stress and signs that indicate a high workload. Recognising signs that could lead to burn-out;
- Expansion of the repertoire of actions to prevent perceptions of high workload, using 'energy givers' and assisting employees with stress complaints;

#### Action:

- Developing training sessions on workload and work stress.

### Working on the regulatory burden

The EUR has an interactive management philosophy with a high degree of autonomy for the faculties and institutes and creation of clear frameworks. The tension between control and autonomy is inherent. Bureaucracy and regulatory proliferation also appear to be so. The increased requirements regarding reporting, accounting and control lead to a higher workload at all levels. Professionals perceive this as a lack of confidence in their professionalism. Furthermore, the sense that meetings are held too often and last too long is widespread.

The increased requirements for accounting and increased regulations are a political and social reality. However, we can influence the way in which the regulations are translated internally and how accounting is designed.

We have set up 'Regulatory Burden' Task Force that investigates possibilities for dealing differently with the regulatory burden and accounting obligations. The Task Force investigates possibilities and makes proposals for their execution.

The initiative for the task force rests with ABD. The membership of the task force is broadly-based, covering a number of disciplines and areas of expertise:

- Management;
- Employees (both support and management staff and academic staff).
- Expertise regarding lean and agile;
- Planning and Control;
- HR.

#### Action:

- Start 'Regulatory Burden' task force.

### Sharpening policy on confidential counsellors and the Ombudsman role

In August, a proposal was submitted to the Executive Board to sharpen and broaden the policy, placing more emphasis on visibility, accessibility and prevention of official reports and complaints. The potential deployment of an Ombudsman role was also investigated. The overall policy will be translated in terms of follow-up actions.

#### Action:

- Implementing the policy proposal of August 2017, including the Ombudsman role. Recent decision-making will be involved in the execution.

### Policy on aggression and violence

The policy on aggression and violence does not include a reporting and registration system or company rules. This omission was observed by the Inspectorate SZW (the Dutch labour inspectorate) in September 2017. This will be addressed as part of the workload strategy.

**Action:**

- Establish a reporting and registration system and draw up company rules.

Presentation of TOP courses that contribute towards a safe work climate

TOP offers a number of training sessions that contribute towards a safe work climate. This could include giving and receiving feedback, the art of communication, inter-cultural communication and discussing ideas with a sparring partner. These training sessions will be presented more explicitly as tool for positively influencing a safe work climate. Following training sessions is stimulated and facilitated.

**Action:**

- Presentation of TOP training sessions that can strengthen the work climate.

Presentation of training sessions aimed at workload management

TOP offers training sessions that enable employees to manage their time and deal with the workload that is inherent to working at the EUR. We will bundle these courses under a heading that matches the workload subject and consequently becomes more visible for everyone wishing to work on this. The courses include matters such as time management, reading faster, focusing on self management and managing your inbox.

We also offer a new facility: work-life balance coaching. Individually, supplemented with group activities, employees gain an insight into their own stress factors and their own sources of energy. The participants are given practical tools for dealing with stress and workload and can restore the balance between their working and private lives. Coaching can also be provided 'in company' for teams, sections and academic departments. Following training session is stimulated and facilitated.

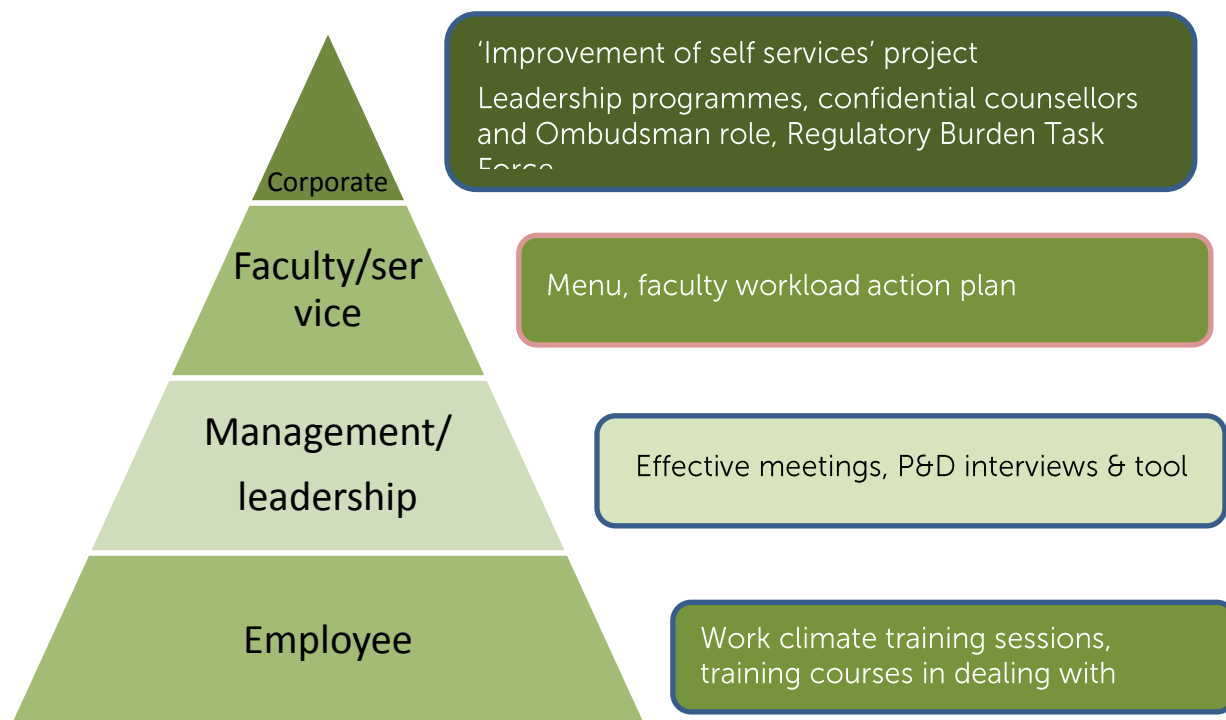
**Action:**

- Presentation of TOP training sessions;
- Development of work-life balance coaching.

## 5.4 Summary of the measures

Issue	Action	Owner
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Workload management is a matter for the Executive Board, managers and employees. Pressure of work is a multi-faceted problem. This is why the measures are implemented at different action levels within the organisation. The implementation of measures is coordinated.

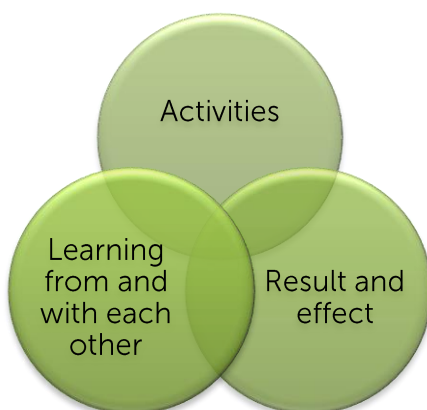


<i>Faculties and services action plans</i>	<i>Preparing measurable and verifiable plans for employee survey and workload, monitoring plans</i>	<i>Faculties, services and Executive Board</i>
<i>Compiling menu</i>	<i>'Button panel' with issues and solutions</i>	<i>HR</i>
<i>Dialogue</i>	<i>Regular dialogue sessions on the theme of 'workload'</i>	<i>Faculties and services</i>
<b>Measures relating to structure</b>		
<i>Steering staffing</i>	<i>Developing personnel scenarios, investment</i>	<i>Faculties and services</i>
<i>Improving efficiency of self services</i>	<i>'Improvement of self services' project</i>	<i>ITD, FB, HR, ITS, MC</i>
<i>Efficiency, effective meeting skills</i>	<i>Organising training sessions Circulating 'best practices'; Checking value and need for fora and meeting moments</i>	<i>TOP HR/communications</i>
<i>P&amp;D interviews</i>	<i>Including workload in P&amp;D interviews and formats.</i>	<i>HR</i>
	<i>Development of tool as guide for the interviews</i>	<i>HR</i>
<b>Social and cultural measures</b>		
<i>Leadership</i>	<i>Developing training sessions focusing on workload and work stress</i>	<i>HR/TOP</i>
	<i>Adjusting vision and curriculum to the workload theme</i>	<i>HR/TOP</i>
<i>Autonomy</i>	<i>'Regulatory Burden' project (task force)</i>	<i>Broad (ABD initiative)</i>
<i>Work climate: sharpening policy on confidential counsellors and the Ombudsman role</i>	<i>Implementing the policy proposal of August 2017</i>	<i>HR</i>
<i>Policy on aggression and violence</i>	<i>Reporting and registration system and company rules</i>	<i>HR</i>
<i>Training sessions on managing the workload of employees</i>	<i>Presentation of TOP training sessions Develop work-life balance coaching</i>	<i>HR/TOP HR</i>
<i>Work climate</i>	<i>Presentation of TOP training sessions that can strengthen the work climate</i>	<i>HR/TOP</i>

## 5.5 Implementation and planning

### *Steering for three domains*

The workload strategy is an urgent matter: strong steering for the implementation is a conditions for realising the goals and results formulated. Steering takes place for three domains:



### *Steering Activities*

This domain concerns monitoring the execution of planned actions (such as the provision of training sessions, establishing a policy of aggression and violence and addressing the improvement of self services): are all the proposed actions executed according to plan and according to the schedules?

### *Steering Learning*

The creation of 'communities of practice' is under consideration. In these communities, people who share an interest, a question or a passion for a particular subject will come together and will share and deepen that knowledge and expertise. In this way, best practices will develop, that can be useful for the entire EUR community. The communities will be facilitated via the 'workload strategy'.

### *Steering Results and Effects*

The faculties and services will reach an agreement with the Executive Board on the objectives to be realised (what do you want to achieve?), activities (what are you going to do for that?) and effects (what will it produce in terms of concrete consequences for the

(perception of the) workload?). The faculty or service will make its own proposal that is challenging and appropriate to the practice relating to workload. Naturally, the specific actions relating to workload in the Employee Survey 2016 action plans of the faculties and services form the basis for this. This proposal also contains a set of KPIs tailored to the organisation (SMART, in relation to the objective, not financially committed and open to influence by managers and employees). The proposal will be discussed with the Executive Board, recorded in a contract and monitored in the bilateral meetings.

A subsequent employee survey will be conducted in November 2018, i.e. after one year. The figures will show whether the scores for the questions relating to workload have already changed. The amount of time between the start of the implementation of the Workload Action Plan (Q1 2018) and the conduct of the 2018 Employee Survey is short, so that significant differences in perceptions of workload are not to be expected. For that reason, a measurement will be conducted in 2019 that is aimed specifically at all aspects of workload. Naturally, the agreements and KPIs will be leading here.

The steering principles relate to both the activities undertaken by faculties and services and the activities formulated on an EUR-wide basis in the action plan.

### *Implementing structure*

The implementing structure has four elements:

- Steering committee;
- Project manager;
- Sub-project managers;
- Consultation group.

### *Steering committee*

The steering committee is a line function and monitors the implementation of the policy formulated and the actions in the three steering domains distinguished. The steering committee steers for learning and co-creation. It concerns converting individual learning into group learning. The task of the steering committee is to fill an initiating and identifying role, steering for objectives in relation to the entire set of activities in the action plan. The steering committee regularly assesses the objectives and the results on the basis of reports. Following the completion of each phase, the steering committee must check whether the results are satisfactory and whether the objectives still apply, or whether adjustments are necessary. The steering committee consists of:

- The Rector (chairperson).
- A Dean;
- A programme director:



- A director of operations
- HR Director

A conscious choice was made for the chairmanship of the Rector. He will ensure the connection with education and research and will avoid any predominance of the operational perspective in the strategy for the workload issue;

#### *Project manager*

There is a complex of inter-related objectives, tasks and projects that involve many stakeholders and that must be steered together. The term for the implementation of the action plan is at least two years. The EUR appoints a project manager. This may be an external project manager.

The project manager is responsible for the realisation of a concrete implementing plan and detailed plan, and for their execution. He draws up all formal documents, advises the steering committee and is responsible for the implementation of communication activities, reports and the financial accounting. The project manager reports to the steering committee.

#### *Sub-project managers*

Sub-project managers must be appointed for a number of activities in the action plan. Sub-project managers come from all possible fields within the EUR.

#### *Consultation group:*

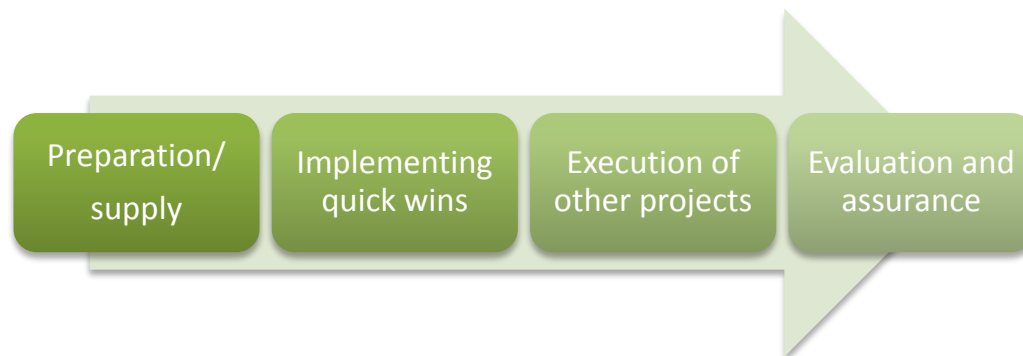
Workload management concerns everyone. This is why feedback from 'users' (the people who must experience the effects of the measures) and parties responsible (everyone must work with them) is extremely important. The consulting group has a role as an advisor for the steering committee and the project manager and its tasks are:

- to advise on the content of the action plan, changes in the measures and actions and changes in the course of the workload action plan;
- To advise on new measures to be taken.

The consultation group consists of delegates from EUROPA.

### *Implementation in phases*

The implementation of the action plan will be realised in the coming two years. We will take the following steps:



#### *Preparation/supply*

On the basis of this workload action plan, a more detailed implementation plan will be drawn up. An important part of this phase is the implementation of the decision concerning the steering. The implementation plan (bid book) covers:

- Detailed plans for all activities;
- Schedule;
- Budget Plan;
- Rules of engagement, good client and supplier practice;
- Manning;
- Communication;
- Evaluation (more detailed development) and KPIs.

#### *Implementation of quick wins*

A number of measures can be realised quickly without a great deal of effort. A few examples:

- Inclusion of workload in P&D interviews and adjusting the P&D format;
- Work-life balance coaching, both individually and in teams;
- Presentation of training sessions under the heading of 'workload management';
- Communication with managers on training sessions aimed at improving the work climate.

#### *Execution of activities*

Detailed plans will be drawn up for each measure. The detailed plans together form a schedule for workload management.

### *Evaluation and assurance*

The implementation of the action plan will cover a two-year period. A subsequent employee survey will be conducted in November 2018, i.e. after one year. The figures will show whether the scores for the questions relating to workload have already changed. Lower scores for workload perceptions will then be difficult to ascribe to the success of both the EUR-wide measures and the plans of the faculties and services. The question is therefore whether the EUR already realises an effect in addressing workloads within a year. For that reason, a measurement will be conducted in 2019 that is aimed specifically at all aspects of workload. Naturally, the agreements and KPIs will be leading here.

Results will be monitored during the term of the action plan. This will concern the performance of tasks in the detailed plans, the satisfaction of participants, delays and interventions regarding delays.

### *Frameworks for steering*

#### *Communication*

Workload management is a task for everyone. We are seeking a striking way to draw attention to workload and its management.

#### *Rules of engagement*

The workload strategy is multi-faceted, involving a combination of varied activities. In order to be able to work vigorously in a result-oriented manner, it is necessary to agree and record the roles, responsibilities, power and lines of communication. Clear client and supplier good practice forms part of the 'rules of engagement'.

#### *Key Performance Indicators*

The success of the measures aimed at workload depends on the degree to which measures are actually implemented in both faculties and services and at the EUR-wide level. A good set of KPIs (SMART, relating to the objectives, not financially committed, open to influence by managers and employees) will make it possible for us to answer the question of 'Is it working?' and to be able to make responsible choices during the process regarding adjustments of the action plan (stopping, intensification, change of approach). KPIs are therefore a condition for optimal performance in addressing workload. In dialogue with the different actors (faculties and services, the Executive Board, the University Council, EUROPA and the consultation group) the KPIs will be developed in more detail in the action plan.

#### *Deployment of manpower*

Manpower is needed for the implementation of a number of sub-projects. The project manager will draw up a budget plan for necessary investments in manpower. Time will be freed to enable people to actually demonstrate ownership. Clear client and supplier good practice is essential. If acceleration is necessary, we will make use of external capacity.

#### *Financial control*

The steering committee is responsible for preparing the budget plan and the financial accounts. The project manager draws up the budget plan and the financial reports.

#### *Planning*

The activities and measures described will be implemented within a term of two years. In outline, the plans are as follows:

Activity	Q1 '18	Q2 '18	Q3 '18	Q4 '18	Q1'19	Q2'19	Q3 19	Q4'19
Preparation and supplies								
Implementing quick wins								
Start of execution of projects								
Execution of projects								
Evaluation (internal)								
Extra research into measurement of results								
MO 2018								

#### *Contd.*

On the basis of the decisions taken, an estimate and a budget plan will be drawn up for the implementation of the plans, as well as the realisation of the steering of the action plan. Where possible, we will make an estimate of the investment of time required of both HR and participants in projects.

## Appendix 1 Overview of plans of faculties and services

Structural measures	
<i>Clear objectives and plans</i>	
Making departmental plans, Prioritising on the basis of plans	ABD, USC
Sharing action and decision lists	ABD, ISS
Agreement and communication of SLAs	ISS
Improving working meetings	UL
<i>Transparency regarding packages of tasks, roles, responsibilities</i>	
Transparency regarding jobs and grades	ABD
Refine distribution and allocation model	ESE, FP
Clarification of roles, tasks and powers	ISS
Defining and regulating workload of employees	ISS
Clarification of career paths (tenure trackers)	RSM, ESL
<i>Planning of work and efficiency</i>	
Lean working, de-bureaucratisation	ISS, USC
Improving working meetings	UL
Reducing time spent in meetings	USC
<i>Staffing, reduction in workload</i>	
Accelerated filling of vacancies	ESE
Expanding support and management staff	ESE,
Expanding academic staff (Facilitating permanent appointments for tutors and coordinating academic staff at ESL)	ESL, ESSB
More tenure trackers	FP
Introduction of Tutor Academy (recruitment of student assistants) including with the tasks of giving tutorials, invigilating examinations and marking assignments	ESE
Review of educational tasks	ESSB
Increasing research time	RSM
Organisation of replacements for absent employees	ABD
Social and cultural measures	
<i>Work climate</i>	
Code of conduct and communications, safe work climate and undesirable conduct	ABD
Openness and communications (ABD: stand-up)	ABD

Workload subject of P&D meeting	ESE, ESHCC, ESL, FP,
Reporting centre and measures concerning undesirable verbal conduct of students	ESL
Information sessions, exchanges relating to workload	ISS, USC. ESHCC
<i>Collegiality and social relationships</i>	
Working lunches, informal exchanges	ABD, ESHCC
Organisation of activities outside work (pop-up choir)	ABD, ESHCC
Tenure trackers dinners and meetings	ESL
<i>Leadership</i>	
Leadership development, general	ABD, RSM, ESHCC
Training supervisors in making workload open to discussion, dealing with workload and giving feedback to employees	ESE, ISS, UL
Replacement of supervisors who lack essential competencies	FP, RSM
360° feedback for supervisors	ISS
<i>Learning and development and job autonomy</i>	
Development plan, training plan	ABD, RSM
Investing in engagement	FWS/ESSB
Training for employees in dealing with pressure of work	ISS, IBMG
Development of career policy	RSM

Decision number	Date	Document number	Decision
359-1	1/8/2018	ese 36406 and ese	<p>On 30 October 2017 the MT decided the following concerning the ESE-Awards 2017, which were handed out at the Christmas Drinks at 19 December:</p> <p>1. Top Talent Researcher Award The management team selects the following researchers for the top talent researcher award: Andreas Alfons Aleksandar Andonov Jan Heufer Olivier Marie</p> <p>2 Educational Innovation Award The MT selects the following educators for the educational innovation award. According to the ESE awards regulations 2017, a jury will select 3 educators of the 5 (team of) nominees: Paul Bouman &amp; Kars Schouten Kevin Dalmeijer Emöke Oldenkamp-Bazsa &amp; Christiaan Heij Sander Renes Omar Rickets</p> <p>3 Societal Impact Award The MT selects the following person for the societal impact award: Frank van Oort</p> <p>4 Support Award The MT selects the following person for the support award: Margaretha Buurman</p> <p>5 Dean's Award The prize is specifically intended for a person or team who is not (directly) part of the ESE organisation. The MT selects the following team for the Dean's award: The management team of ECE BV</p> <p>Concerning the teaching innovation award, the jury decided in their meeting of 7 December 2017 to hand out this award to the following 3 (teams) of educators: 1 Kevin Dalmeijer 2 Omar Rickets 3 Paul Bouman &amp; Kars Schouten The prizes will be dealt with according to the ESE award regulations.</p>
359-2	1/8/2018	ese 36651	<p>The Management Team adopts the advice of the 'Werkgroep samenwerking fiscale economie en fiscaal recht' to start all preparations for a new Master variant for the program 'Fiscale Economie' called 'Indirecte belastingen' to start in the academic year 2018/19. The MT thanks the committee for the thoroughly prepared report, of which other details will be dealt with and made arrangements for in a later stage. Decisions concerning other subjects will be made accordingly,</p>
359-3	1/8/18		<p>On 23 October the MT decided to approve of the restructuring of the secretariats, provided it will be approved in the director's meeting (7 December 2017) and awaiting the School Council's approval (meeting 7 December 2017). Both approvals have been obtained. The manager Secretarial Support Office will be informed accordingly to start all necessary procedures. As is expected, it will not have much impact to the personnel involved.</p>
359-4	1/8/18	ese 36650	<p>It has been decided to give the 2 ESE diversity officers access to the management portal, in order to do analyses concerning gender and nationality of personnel (no access to specific names). The controller will take care of the procedures.</p>
360-1	1/15/18	ese 36540	<p>In the Management Team meeting of 4 December 2017 it was decided to go ahead with the program Sustainable Development Goals (SDG): The 5 ESE research groups will be asked to develop a short proposal (1 A4) concerning one or two of the 17 well-known SDGs containing title, outline, projected outcomes, involved researchers and a general budget. The programme runs from 2018-2022 (5 years). The annual grant is 200K Euro per year for each research group. The proposals will be judged on three criteria (relevance, increasing reputation of ESE, enough dissemination into educational programmes); after finalizing the project an evaluation report is requested. In the directors meeting of 21 December 2017 the proposal was adopted and a meeting with the programme leaders was set up in the beginning of January.</p>

360-2	1/15/18	ese 36524	<p>At 4 December 2017 the MT adopts the new procedure of ESE internships for the BSc and MSc programmes, as stipulated in the document ese 36524 and endorsed by the directors meeting of 21 December 2017, There are two different kinds of internship contracts, i.e. for intra and extra curricular internships to be used for BSc as well as MSc internships. Programme management will monitor the process, in consultation with the Legal Officer and the Manager Secretarial Support Office.</p> <p>As discussed in the directors meeting, special attention will be paid to the possible wishes of companies concerning confidentiality on one hand and the wish of assessment committees for the possibility to look into the reports on the other.</p>
361-1	1/22/18	ese 36694	<p>From the start of 2018 it is decided the dean will have have 4 consultative meetings with all the different departments at ESE (instead of 5 the previous years); each with one specific topic, resp. personnel, finance, research and education.</p>
361-2	1/22/18		<p>After finalizing 2017, the total final budgets for all departments within ESE were determined and presented. The MT adopts the division of the budget 2017.</p>
361-3	1/22/18		<p>Taking into account the pro's and con's, it has been decided to divide the ESE budget 2018 already according to the new ESE allocation model, and not wait till 2019. Concerning possible major changes in the drawing rights on the TA pool, this needs the approval of all department directors.</p>
362-1	1/29/18		<p>The new job description of the position of Operations Manager (in the past: Office Manager) at ESE has been adopted. The job profile for this position is determined as business coordinator. This job profile is determined according to the rules of the University Profiles Classification system (UFO). Starting date: 1 January 2018.</p>



<b>Decision number</b>	<b>Date</b>	<b>Decision</b>
364-1	2/12/18	All final versions of the proposals for the Sustainable Development Goals projects are endorsed. The programme leaders research of the 5 research programmes will be informed and will be asked to draw up a budget for each project for each of the 5 years of the duration of the project. If the budget has not been spent in a certain year, it is not allowed to spend it in the year thereafter.
365-1	2/19/18	The MT agrees with the ESE Financial Report 2017 as presented in this meeting. The requested motto of this report will be 'more people to serve more students'. The report, including the required tables will be sent to the Executive Board shortly.

**Overzicht poststukken Erasmus School of Economics  
periode 01.01.2018 t/m 31.01.2018**

*Stuknummer:* ese0036691  
*Datum poststuk:* 09/01/2018  
*Ref/Kenm:*  
*Afzender:* ese election office  
*Geadresseerde:* decaan ese  
*Inhoud:* ese-all: vacancy in personnel council. request to send in applications.  
*Actie medewerker:* p.m. endevelt  
*Actie:* afh  
*Deadline:*

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*Stuknummer:* ese0036745  
*Datum poststuk:* 19/01/2018  
*Ref/Kenm:*  
*Afzender:* centraal stembureau  
*Geadresseerde:* decaan ese  
*Inhoud:* concept tijdschema verkiezingen 2018  
*Actie medewerker:* executive assistant to the dean  
*Actie:* afh

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*Stuknummer:* ese0036746  
*Datum poststuk:* 22/01/2018  
*Ref/Kenm:*  
*Afzender:* unit facility services  
*Geadresseerde:* decaan ese  
*Inhoud:* uitnodiging informatiebijeenkomst post, postpakketten, koeriersdiensten en vracht in 2018  
*Actie medewerker:* r. lighthart  
*Actie:* afh  
*Deadline:* 25/01/2018

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*Stuknummer:* ese0036752  
*Datum poststuk:* 23/01/2018  
*Ref/Kenm:* csb/mp/275.474  
*Afzender:* centraal stembureau  
*Geadresseerde:* decaan ese  
*Inhoud:* kandidaten voor de tussentijdse verkiezingen bij de universiteitsraad winter 2018  
*Actie medewerker:* p.m. endevelt  
*Actie:* tk  
*Deadline:*



**Overzicht poststukken Erasmus School of Economics  
periode 01.02.2018 t/m 28.02.2018**

*Stuknummer:* ese0036841  
*Datum poststuk:* 16/02/2018  
*Ref/Kenm:*  
*Afzender:* koninklijke hollandsche maatschappij der wetenschappen  
*Geadresseerde:* decaan ese  
*Inhoud:* uitslag voordracht jan brouwer scriptieprijs  
*Actie medewerker:*  
*Actie:* tk  
*Deadline:*

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*Stuknummer:* ese0036843  
*Datum poststuk:* 20/02/2018  
*Ref/Kenm:* cvb/hp/pj/ra00276793  
*Afzender:* rector magnificus  
*Geadresseerde:* decaan ese  
*Inhoud:* huibregtsenprijs 2018 oproep tot voordrachten  
*Actie medewerker:* a. de rijk  
*Actie:*  
*Deadline:* 24/03/2018

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*Stuknummer:* ese0036844  
*Datum poststuk:* 22/02/2018  
*Ref/Kenm:* Csb/mp/275.488  
*Afzender:* central electoral committee  
*Geadresseerde:* decaan ese  
*Inhoud:* record of the 2018 by-elections for the university council (erasmus school of social and behavioural sciences  
*Actie medewerker:* pm endevelde  
*Actie:* tk  
*Deadline:*

# Plan of Action – Bachelor Econometrics and Operations Research – CROHO 56833

## In response to the Limited Programme Assessment of December 2017

Version 12 February 2018

This Plan of Action describes concrete and testable (SMART) improvement proposals in response to the concerns in the critical self-evaluation, the site visit and the report of the committee. Proposals for improvement cover the period until the next midterm accreditation, in most cases, about three years. If many new improvements are necessary, a prioritization and planning for each action is indicated. For the Plan of Action, the following applies:

- a. All attention points mentioned in the committee report are included.
- b. In case of an 'unsatisfactory' to an assessment criteria the research unit relates a remedial action to every concern.
- c. In case of a 'very good' (or higher) to an assessment criteria the research unit can relate a remedial action to the concerns, but it may also differ if motivated.
- d. Every action should include the following features:
  - i. Actor
  - ii. Goal
  - iii. Time schedule / completion date
  - iv. Understanding of time, money and resources needed to implement the action
  - v. Methods of evaluation: in the midterm evaluation

<b>1: Intended learning outcome</b>				
<i>The intended learning outcomes tie in with the level and orientation of the programme; they are geared to the expectations of the professional field, the discipline, and international requirements.</i>				<i>Satisfactory</i>
<b>Page report: -</b>	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A.	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

<b>2: Teaching - learning environment</b>				
<i>The curriculum, the teaching - learning environment and the quality of the teaching staff enable the incoming students to achieve the intended learning outcomes.</i>				<i>Good</i>
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends to intensify the students' academic skills training in the curriculum, in support of the plans of programme management.	<b>Proposed action:</b> ESE plans to further optimise, implement, streamline and integrate skills education in each year of all ESE bachelor programmes.	<b>Actor(s):</b> Project coordinator, lecturers, programme committee, bachelor coordinator, programme management.	<b>Delivery date:</b> Development in 2016-2017, implementation as of 2017-2018.
<p>Explanation: The panel indicated that skills training, such as study skills and academic writing and presentation skills, seems to appear to be somewhat scattered across the curriculum. Following the panel's recommendation to intensify and increase coherence in the skills programme, ESE will develop a revised and coherent skills course for the whole bachelor programme. Furthermore, the aim is not only to develop continuous skills learning modules throughout the whole bachelor programme, but also to relate with skills training in the master programmes. One of the aims of the skills programme is to prepare students for the thesis trajectory, by offering academic research skills as well as academic writing skills. Moreover, ESE wants to incorporate the skills assignments in the other bachelor courses and in the mentor programme.</p> <p>To achieve these aims the following is needed and will affect the results:</p> <ul style="list-style-type: none"> <li>- Establishing a project team, with academic staff headed by a project coordinator</li> <li>- Development of the skills programme, including content as well as assessment</li> <li>- Coordination with other ESE programmes</li> <li>- Coordination between bachelor- and masterprogrammes</li> <li>- Incorporation of skills assignments in bachelorcourses, which requires cooperation between courses.</li> </ul>				

<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel advises to try and offer more opportunities for international exchange for students	<b>Proposed action:</b> Further development and streamlining of internationalisation and education marketing strategies, by hiring a new Head of Communication, Marketing, Internationalisation & alumni. Further expansion of the international exchange network.	<b>Actor(s)</b> Educational Marketing team, ESE's International Office	<b>Delivery date</b> From 2016 onwards.
<p>Explanation: ESE aims to expand its international exchange network and developing stronger ties with leading schools worldwide. Especially in the United States, as well as expanding the number of non-European partners, such as universities in Japan, are important priorities for the coming years.</p> <p>As of September 2017 a new Head of Communications, Marketing &amp; Internationalisation (1,0 fte) is hired to develop amongst others internationalisation and education marketing strategies for ESE's international Bachelor's and Master's degree programmes. As an additional result, this allows Education Marketing to invest more time and effort in increasing ESE's international partner network.</p>				
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends improving the information provided to the students, by aligning different communication platforms.	<b>Proposed action:</b> Development and implementation of a new digital learning and working environment.	<b>Actor(s)</b> Head of ESC, educational experts, ICT-coordinator, web developer.	<b>Delivery date</b> Pilots in academic year 2017-2018, operational as of 2018-2019.
<p>Explanation: For the communication, the School uses various platforms (Blackboard, Sin-online, Osiris); the panel concluded that this is not very transparent for students.</p> <p>Students would prefer a more centralised information system. The creation of a digital learning and working environment at the EUR-level should solve this in the near future. This new system (Canvas) will be piloted in 2017-2018 and must be operational for all programmes as of academic year 2018-2019.</p> <p>The new learning environment will be introduced at EUR-level. A delay of its introduction will also affect the implementation at ESE. Instruction, guidance and support will be needed and will affect the implementation of the new digital learning environment.</p>				

ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 21):

Aim for improvement:	Proposed action:	Actor(s):	Delivery date
Further improvement of the quality of small scale teaching, by professionalising the selection, training and guidance of tutors	Further development of the Tutor Academy. Procedures for the selection of tutors and the communication between tutors, teachers, lecturers and students, as well as training and guidance programmes for tutors, will continue to be implemented	Teachers, tutors, led by a director and supported by two administrative assistants	From academic year 2017-2018 onwards
Improvement of the student/staff ratio and to address to the workload for thesis supervisors	Part of the Quality Impetus Programme includes hiring additional teaching capacity. The skills programme as well as the introduction of the Thesis Hub aim to contribute to unburden staff.	Programme Directors, programme management, project manager Quality Impetus Programme	From academic year 2017-2018 onwards
Students want to have more choice in minors of interest to them.	Expanding and adjustment of deepening minors for ESE students: - Economics for Econometrician - Behavioural Finance - Computer Science	Bachelor coordinators, minor coordinators	As of academic year 2016-2017

3: Student assessment				
<i>The programme has an adequate system of student assessment in place.</i>				<i>Satisfactory</i>
Page report	Quote for improvement:	Proposed action:	Actor(s):	Delivery date:
18	The panel recommends to inform students more clearly and more comprehensively about the thesis process and the thesis assessment.	Implementation of the Thesis Hub for all programmes, including streamlining the Thesis Manuals at programme level.	Thesis Hub responsible, Thesis Manual responsible, thesis coordinators.	Start investigations as of 2017-2018, implementation as of 2018-2019.
Explanation:				



	<p>The bachelor and the master programme of Econometrics each have their own thesis manual; one thesis manual for all specialisations in the bachelor's programme and one manual in the master's programme. The students with whom the panel met, were not very content with the information about the thesis process and the thesis assessment. In the panel's view, the thesis process is satisfactorily organised. This will be further improved, when the Thesis Workflow System is implemented. The panel recommends to inform students more clearly and more comprehensively about the thesis process and the thesis assessment. Currently, communication about the thesis is organised at different levels (school, department, programme, and supervisor) and scattered across the ESE website. In order to provide students with all the necessary information on a timely basis, the information would either need to be provided centrally, or there should be more coordination between departments regarding when, how, and what to communicate about the thesis.</p> <p>To solve this, ESE aims to set up a Thesis Hub, providing one point of information for students as part of their LMS. Next to all procedural information, the Hub will also contain various online modules with which students can train their writing and research skills. Furthermore, ESE wants to align the Thesis Manuals and design a release process for yearly versions of these manuals. To this end, as of September 2017 the school is investigating options to develop, set up and implement these plans.</p> <p>These plans will be applicable for the whole School. The bachelor coordinators, department directors, thesis coordinators, as well as the programme committees and School Council will be consulted in this process. Hence, coordination and outlining could affect the time needed to get the aimed results.</p> <p>Establishing a Workgroup Thesis Hub, including a Thesis Hub responsible, a Thesis Manual responsible, thesis coordinators, and students will be necessary to achieve the results.</p>			
<p><b>Page report</b> 19</p>	<p><b>Quote for improvement:</b> The panel recommends considering using weighted criteria in the thesis assessment.</p>	<p><b>Proposed action:</b> Improvement of the current thesis assessment and introduction of rubrics, adjusted to the ILO's.</p>	<p><b>Actor(s)</b> Educational assessment expert Education, Examination Board.</p>	<p><b>Delivery date</b> Start in 2017-2018, implementation as of 2018-2019.</p>
	<p>Explanation:</p> <p>Offer well defined thesis assessment criteria to standardize the thesis grading expectations for students and supervisors by means of introducing rubrics (i.e. a matrix that specifies different levels of achievements per criterion). To this end, ESE aims to improve the current thesis assessment and to introduce rubrics. As of September 2017, the educational assessment expert, in collaboration with the policy officers, will start to investigate the overall assessment processes, in connection with the ILO's.</p>			

ESE's own additional points for improvements (Standard 3 is described in the Self-Assessment Report of the BSc Economics and Business Economics, p.23-28.):

Aim for improvement:	Proposed action:	Actor(s):	Delivery date
More expertise about didactics and assessment quality	Hiring an educational expert and an educational assessment expert as of August 2016, an additional educational expert as of 2017	Head of ESC, programme management, Examination Board	As of academic year 2016-2017 onwards
Further monitoring the content of written tests that do pass the quick scan.	Further analysing the content of written tests by conducting sample surveys.	Examination Board, Quality Assurance Officer.	As of academic year 2016-2017 onwards
Investigate the possibilities of more digital assessments.	Investigate the possibilities to use more digital tests, by associating with the knowledge and facilities of the Innovation Hub and EUR-project Digital assessment of the Community for Learning and Innovation.	Educational Renewal Officers, participants in the Innovation Hub and EUR-project Digital assessment - CLI.	As of academic year 2016-2017 onwards

<b>4: Achieved learning outcomes</b>				<i>Good</i>
<i>The programme demonstrates that the intended learning outcomes are achieved.</i>				
<b>Page report:</b> -	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 26):

Aim for improvement:	Proposed action:	Actor(s):	Delivery date
Expanding the alumni network	Gathering information about alumni on a structural basis, by co-branding with ESE's student associations.	Alumni Officer, Head of Communication, Marketing, Internationalisation & alumni.	As of academic year 2017-2018 onwards

# Plan of Action – Bachelor Economics and Business Economics – CROHO 50950

## In response to the Limited Programme Assessment of December 2017

Version 15 March 2018

This Plan of Action describes concrete and testable (SMART) improvement proposals in response to the concerns in the critical self-evaluation, the site visit and the report of the committee. Proposals for improvement cover the period until the next midterm accreditation, in most cases, about three years. If many new improvements are necessary, a prioritization and planning for each action is indicated. For the Plan of Action, the following applies:

- a. All attention points mentioned in the committee report are included.
- b. In case of an 'unsatisfactory' to an assessment criteria the research unit relates a remedial action to every concern.
- c. In case of a 'very good' (or higher) to an assessment criteria the research unit can relate a remedial action to the concerns, but it may also differ if motivated.
- d. Every action should include the following features:
  - i. Actor
  - ii. Goal
  - iii. Time schedule / completion date
  - iv. Understanding of time, money and resources needed to implement the action
  - v. Methods of evaluation: in the midterm evaluation

<b>1: Intended learning outcome</b>				
<i>The intended learning outcomes tie in with the level and orientation of the programme; they are geared to the expectations of the professional field, the discipline, and international requirements.</i>				<i>Satisfactory</i>
<b>Page report: -</b>	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

<b>2: Teaching - learning environment</b>				
<i>The curriculum, the teaching - learning environment and the quality of the teaching staff enable the incoming students to achieve the intended learning outcomes.</i>				<i>Good</i>
<b>Page report:</b> 16	<b>Quote for improvement:</b> The panel recommends to intensify the students' academic skills training and to increase the coherence thereof within the curriculum, in support of the plans of programme management.	<b>Proposed action:</b> ESE plans to further optimise, implement, streamline and integrate skills education in each year of all ESE bachelor programmes.	<b>Actor(s):</b> Project coordinator, lecturers, programme committee, bachelor coordinator, programme management.	<b>Delivery date:</b> Development in 2016-2017, implementation in academic year 2017-2018.
	<p>Explanation: The panel indicated that skills training, such as study skills and academic writing and presentation skills, seems to appear to be somewhat scattered across the curriculum.</p> <p>Following the panel's recommendation to intensify and increase coherence in the skills programme, ESE is developing a revised and coherent skills course for the whole bachelor programme. Furthermore, the aim is not only to develop continuous skills learning modules throughout the whole bachelor programme, but also to relate with skills training in the master programmes. One of the aims of the skills programme is to prepare students for the thesis trajectory, by offering academic research skills as well as academic writing skills. Moreover, ESE wants to incorporate the skills assignments in the other bachelor courses and in the mentor programme.</p> <p>To achieve these aims the following is needed and will affect the results:</p> <ul style="list-style-type: none"> <li>- Establishing a project team, with academic staff headed by a project coordinator</li> <li>- Development of the skills programme, including content as well as assessment</li> </ul>			

	<ul style="list-style-type: none"> <li>- Coordination with other ESE programmes</li> <li>- Coordination between bachelor- and masterprogrammes</li> <li>- Incorporation of skills assignments in bachelorcourses, which requires cooperation between courses.</li> </ul> <p>Implementation of the skills programmes as of academic year 2017-2018.</p>			
<b>Page report:</b> 16	<b>Quote for improvement:</b> The panel recommends to improve the information provided to the students about internships and exchange programmes, so students may benefit more from these opportunities.	<b>Proposed action:</b> Development and implementation of a new digital learning and working environment.	<b>Actor(s)</b> Head of ESC, educational experts, ICT-coordinator, web developer.	<b>Delivery date</b> Pilots in academic year 2017-2018, operational as of 2018-2019.
<p>Explanation: During the site visit students indicated that they are not always adequately informed about internships and opportunities for exchange. For the communication, the School uses various platforms (Blackboard, Sin-online, Osiris); the panel concluded that this is not very transparent for students.</p> <p>Students will be informed more comprehensively about the content as well as the choices they can make in bachelor-2 and bachelor-3, by improvement of the bachelor-2 Take-off, as of September 2018. In addition, students would prefer a more centralised information system. The creation of a digital learning and working environment at the EUR-level should solve this in the near future. This new system (Canvas) will be piloted in 2017-2018 and must be operational for all programmes as of academic year 2018-2019.</p> <p>The new learning environment will be introduced at EUR-level. A delay of its introduction will also affect the implementation at ESE. Instruction, guidance and support will be needed and will affect the implementation of the new digital learning environment.</p>				

**ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 21-22):**

<b>Aim for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date</b>
Further improvement of student representation system	Further development and implementation of the student representatives system.	Programme committee	From academic year 2017-2018 onwards

Further improvement of the quality of small scale teaching, by professionalising the selection, training and guidance of tutors	Further development of the Tutor Academy. Procedures for the selection of tutors and the communication between tutors, teachers, lecturers and students, as well as training and guidance programmes for tutors, will continue to be implemented.	Teachers, tutors, led by a director and supported by two administrative assistants	From academic year 2017-2018 onwards
Teaching of ethics could be given more attention	The teaching of philosophy and ethics will be intensified and redesigned in cooperation with the Faculty of Philosophy.	Lecturers, educational expert	Academic year 2016-2017, implementation 2017-2018
Improvement of the student/staff ratio and to address to the peak workload for thesis supervisors	Part of the Quality Impetus Programme includes hiring additional teaching capacity. The skills programme as well as the introduction of the Thesis Hub aim to contribute to unburden staff.	Programme Directors, programme management, project manager Quality Impetus Programme	From academic year 2017-2018 onwards
Students want to have more choice in minors of interest to them	Expanding and adjustment of deepening minors for ESE students: - Economics for Econometrician - Behavioural Finance - Computer Science. ESE will monitor the development regarding the EUR minor system and the minors offered by other schools.	Bachelor coordinators, minor coordinators	As of academic year 2016-2017
Improvement of the level of the first year students' mathematical skills	Offering an online math course for incoming students, as well as online math material. Investigate the usefulness and possibility of offering an online math course and math material for incoming master students.	Lecturers, bachelor and master coordinators	As of academic year 2018-2019 onwards

3: Student assessment <i>The programme has an adequate system of student assessment in place.</i>				Satisfactory
<b>Page report</b> 19	<b>Quote for improvement:</b> The panel recommends to inform students more clearly and more comprehensively about the thesis process and the thesis assessment.	<b>Proposed action:</b> A project group will develop a Thesis Hub for all programmes, including revision and streamlining of the Thesis Manuals at programme level.	<b>Actor(s):</b> Thesis Hub responsible, Thesis Manual responsible, thesis coordinators.	<b>Delivery date:</b> Start investigations as of 2017-2018, implementation as of 2018-2019.
<p>Explanation:</p> <p>In the bachelor and master programmes of Economics &amp; Business a thesis manual has been drafted per specialisation, by the thesis coordinator of the department or section involved. The students with whom the panel met, were not very content with the information about the thesis process and the thesis assessment. In the panel's view, the thesis process is satisfactorily organised. This will be further improved, when the Thesis Workflow System is implemented. The panel recommends to inform students more clearly and more comprehensively about the thesis process and the thesis assessment. Currently, communication about the thesis is organised at different levels (school, department, programme, and supervisor) and scattered across the ESE website. In order to provide students with all the necessary information on a timely basis, the information would either need to be provided centrally, or there should be more coordination between departments regarding when, how, and what to communicate about the thesis.</p> <p>To solve this, ESE aims to set up a Thesis Hub, providing one point of information for students as part of their LMS. Next to all procedural information, the Hub will also contain various online modules with which students can train their writing and research skills. Furthermore, ESE wants to align the Thesis Manuals and design a release process for yearly versions of these manuals. To this end, as of September 2017 the school is investigating options to develop, set up and implement these plans.</p> <p>These plans will be applicable for the whole School. The bachelor coordinators, department directors, thesis coordinators, as well as the programme committees and School Council will be consulted in this process. Hence, coordination and outlining could affect the time needed to get the aimed results.</p> <p>Establishing a Workgroup Thesis Hub, including a Thesis Hub responsible, a Thesis Manual responsible and thesis coordinators will be necessary to achieve the results.</p>				

<b>Page report</b> 19	<b>Quote for improvement:</b> The panel recommends to align thesis processes and thesis assessments across the major specialisations and to establish more homogeneity in these processes.	<b>Proposed action</b> Introduction of a more structured and uniform thesis process.	<b>Actor(s):</b> Programme management, thesis coordinators, ICT-coordinator.	<b>Delivery date</b> Start investigations as of 2017-2018, implementation as of 2018-2019.
<p>Explanation:</p> <p>ESE has recently (academic year 2016-2017) implemented the Thesis Workflow System for the bachelor thesis. This system was implemented for the master thesis a couple of years ago, and allows us to monitor the thesis writing process and the thesis assessment process more consistently. We expect that it will provide the same benefits for the bachelor thesis. to monitor the thesis writing process and the thesis assessment process more consistently.</p> <p>In addition, ESE wants introduce a more structured and uniform thesis process. A structured bachelor's process should avoid procrastination, avoid study delay, makes dedicated support easier, allows for a fairer process by giving all students the same amount of time to work on the thesis and is more efficient for supervisors.</p> <p>To this end, as of September 2017 the school is investigating options to develop and design a revised thesis process and workflow. Coordination and outlining with all parties involved could affect the time needed to get the results.</p>				
<b>Page report</b> 19	<b>Quote for improvement:</b> The panel recommends considering using weighted criteria in the thesis assessment.	<b>Proposed action:</b> Improvement of the current thesis assessment and introduction of rubrics, adjusted to the ILO's.	<b>Actor(s)</b> Educational assessment expert, Examination Board	<b>Enter delivery date</b> Start in academic year 2017-2018, implementation as of 2018-2019.
<p>Explanation:</p> <p>Offer well defined thesis assessment criteria to standardise the thesis grading expectations for students and supervisors by means of introducing rubrics (i.e. a matrix that specifies different levels of achievements per criterion). To this end, ESE aims to improve the current thesis assessment and to introduce rubrics. As of September 2017, the educational assessment expert, in collaboration with the policy officers, will start to investigate the overall assessment processes, in connection with the ILO's.</p>				



ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 28):

Aim for improvement:	Proposed action:	Actor(s):	Delivery date
More expertise about didactics and assessment quality	Hiring an educational expert and an educational assessment expert as of August 2016, an additional educational expert as of 2017	Head of ESC, programme management, Examination Board	As of academic year 2016-2017 onwards
Further monitoring the content of written tests that do pass the quick scan.	Further analysing the content of written tests by conducting sample surveys.	Examination Board, educational assessment expert	As of academic year 2016-2017 onwards
Investigate the possibilities of more digital assessments.	Investigate the possibilities to use more digital tests, by associating with the knowledge and facilities of the Innovation Hub and EUR-project Digital assessment of the Community for Learning and Innovation.	Educational Renewal Officers, participants in the Innovation Hub and EUR-project Digital assessment - CLI.	As of academic year 2016-2017 onwards

4: Achieved learning outcomes				Satisfactory
<i>The programme demonstrates that the intended learning outcomes are achieved.</i>				
Page report:	Quote for improvement:	Proposed action:	Actor(s):	Delivery date:
-	none	N/A	N/A	N/A

ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 32):

Aim for improvement:	Proposed action:	Actor(s):	Delivery date
Expanding the alumni network	Gathering information about alumni on a structural basis, by co-branding with ESE's student associations.	Alumni Officer, Head of Communication, Marketing, Internationalisation & alumni.	As of academic year 2017-2018 onwards

# Plan of Action Education – Bachelor Economics and Taxation – CROHO 50950

## In response to the Limited Programme Assessment of December 2017

Version 15 March 2018

This Plan of Action describes concrete and testable (SMART) improvement proposals in response to the concerns in the critical self-evaluation, the site visit and the report of the committee. Proposals for improvement cover the period until the next midterm accreditation, in most cases, about three years. If many new improvements are necessary, a prioritization and planning for each action is indicated. For the Plan of Action, the following applies:

- a. All attention points mentioned in the committee report are included.
- b. In case of an 'unsatisfactory' to an assessment criteria the research unit relates a remedial action to every concern.
- c. In case of a 'very good' (or higher) to an assessment criteria the research unit can relate a remedial action to the concerns, but it may also differ if motivated.
- d. Every action should include the following features:
  - i. Actor
  - ii. Goal
  - iii. Time schedule / completion date
  - iv. Understanding of time, money and resources needed to implement the action
  - v. Methods of evaluation: in the midterm evaluation

<b>1: Intended learning outcome</b>				
<i>The intended learning outcomes tie in with the level and orientation of the programme; they are geared to the expectations of the professional field, the discipline, and international requirements.</i>				<i>Satisfactory</i>
<b>Page report:</b> -	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

<b>2: Teaching - learning environment</b>				
<i>The curriculum, the teaching - learning environment and the quality of the teaching staff enable the incoming students to achieve the intended learning outcomes.</i>				<i>Good</i>
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends to intensify the students' skills training in the curriculum and to increase the coherence thereof within the curriculum, in support of the plans of programme management.	<b>Proposed action:</b> ESE plans to further optimise, implement, streamline and integrate skills education in each year of all ESE bachelor programmes.	<b>Actor(s):</b> Project coordinator, lecturers, programme committee, bachelor coordinator, programme management.	<b>Delivery date:</b> Development in 2016-2017, implementation as of 2017-2018.
	<p>Explanation: The panel indicated that skills training, such as study skills and academic writing and presentation skills, seems to appear to be somewhat scattered across the curriculum.</p> <p>Following the panel's recommendation to intensify and increase coherence in the skills programme, ESE will develop a revised and coherent skills course for the whole bachelor programme. Furthermore, the aim is not only to develop continuous skills learning modules throughout the whole bachelor programme, but also to relate with skills training in the master programmes. One of the aims of the skills programme is to prepare students for the thesis trajectory, by offering academic research skills as well as academic writing skills. Moreover, ESE wants to incorporate the skills assignments in the other bachelor courses and in the mentor programme.</p> <p>To achieve these aims the following is needed and will affect the results:</p>			

	<ul style="list-style-type: none"> <li>- Establishing a project team, with academic staff headed by a project coordinator</li> <li>- Development of the skills programme, including content as well as assessment</li> <li>- Coordination with other ESE programmes</li> <li>- Coordination between bachelor- and masterprogrammes</li> <li>- Incorporation of skills assignments in bachelor courses, which requires cooperation between courses.</li> </ul> <p>Economics and Taxation incorporated practicing extra writing skills in two courses in bachelor-2 as of 2017-2018.</p>			
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends to offer an additional Fiscal course in the first year, to make students even more acquainted with the fiscal field of study.	<b>Proposed action:</b> The course 'Introductie Fiscale Economie' is offered in bachelor-1. The current study schedule allows students to switch. No further action is required.	<b>Actor(s)</b> N/A	<b>Enter delivery date</b> N/A
<p>Explanation: The first two years of the Bachelor Economics and Taxation consist mainly of Bachelor of Economics and Business' courses. In the first year eight introductory courses on Economics and Taxation are offered. To make students even more acquainted with the fiscal field of study, the panel recommends to offer an additional Fiscal course.</p> <p>Erasmus School of Economics wants to provide Economics and Business students with the opportunity to switch to Economis and Taxation in bachelor 2. This will no longer be possible if more fiscal courses in bachelor 1 are offered. Therefore, ESE will not follow-up on this recommendation.</p>				
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel proposes to consider improving the balance between fiscal and legal subjects in the first year of the curriculum	<b>Proposed action:</b> Courses providing legal subjects are already offered in bachelor-3; the master programme offers more courses on legal subjects. No further action is required.	<b>Actor(s)</b> N/A	<b>Enter delivery date</b> N/A
<p>Explanation: The panel approves of the balanced combination of economic, fiscal and legal knowledge in the programme's goals and intended learning outcomes. Nevertheless the panel advises to improve the balance between fiscal and legal subjects in the first year of the bachelor.</p>				

	Erasmus School of Economics chooses to provide students with a strong base in economics in the first two years of the bachelor, also for the students of Economics and Taxation. Courses on legal subjects are offered in bachelor-3 as well as in the master. In addition, Erasmus School of Economics wants to provide Economics and Business students with the opportunity to switch to Economics and Taxation in bachelor 2. This will no longer be possible if more fiscal courses in bachelor 1 are offered. Therefore, ESE will not follow-up on this recommendation. No further action is required.			
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends to offer more tutorials.	<b>Proposed action:</b> Offering more tutorials in the bachelor.	<b>Actor(s)</b> Director, Bachelor coordinator, lecturers	<b>Enter delivery date</b> As of Academic Year 2017-2018
<p>Explanation:</p> <p>During the site visit students indicated that for some courses they need more opportunities to practice. The panel recommends to offer more tutorials for some of the courses, to provide the students with more opportunities to bring theory into practice.</p> <p>The programme already offers tutorials in several courses, as of 2017-2018 two additional courses offer tutorials to practice knowledge. In the remaining courses extra room to practice knowledge is offered in lectures.</p>				
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends lecturers to carry out scientific research, to meet ESE's requirements on academic research.	<b>Proposed action:</b> More collaboration with Erasmus School of Law.	<b>Actor(s)</b> Programme management, Director, ESL.	<b>Enter delivery date</b> As of academic year 2018-2019 onwards
<p>Explanation:</p> <p>According to the panel and the students, the lecturers have excellent didactic qualities. On the other hand, scientific research carried out by the lecturers does not fully meet the requirements of the Erasmus School of Economics. The panel recommends carrying out research according to the requirements of the School; where possible, the opportunities and requirements for fiscal scientists should be taken into account. According to the panel, the School could provide more time for research to the teachers.</p> <p>The programme's staff experiences that no international leading journals are interested in publications on Dutch taxation. Contrary to Economics and Taxation, Erasmus School of Law has its resources for publications on Fiscal Law. The programme aims to collaborate with Erasmus School of Law to connect with these resources.</p>				
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends collaborating with the Fiscal department of Erasmus School of Law.	<b>Proposed action:</b> The double degree mr.drs. programme is also offered to students of Economics and Taxation as of 2017-2018.	<b>Actor(s)</b> Director, bachelor coordinator, ESL	<b>Enter delivery date</b> As of Academic year 2017-2018 onwards

<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends to start the replacement of one the professors, to maintain the current level of education	<b>Proposed action:</b> Recruitment and appointment of a new professor on Economics and Taxation at EFS/ESL.	<b>Actor(s)</b> Erasmus School of Law	<b>Enter delivery date</b> 2018
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**ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 20):**

<b>Aim for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date</b>
Further improvement of the quality of small scale teaching, by professionalising the selection, training and guidance of tutors	Further development of the Tutor Academy. Procedures for the selection of tutors and the communication between tutors, teachers, lecturers and students, as well as training and guidance programmes for tutors, will continue to be implemented.	Teachers, tutors, led by a director and supported by two administrative assistants	From academic year 2017-2018 onwards
More emphasis on ethics in courses	Redesign of the course Philosophy of Economics and more explicit attention on ethics in the third year bachelor course "Integratie Fiscale Economie".	Lecturers, educational expert	Academic year 2016-2017, implementation in academic year 2017-2018
Improvement of the student/staff ratio and to address to the workload	Application of the regular ESE allocation model. Part of the Quality Impetus Programme includes hiring additional teaching capacity. The skills programme as well as the introduction of the Thesis Hub aim to contribute to unburden staff.	Programme Directors, programme management, programme manager Quality Impetus Programme	From academic year 2017-2018 onwards
Students want an integration of information systems	Development and implementation of a new digital learning and working environment.	Head of ESC, educational experts, ICT-coordinator, web developer.	Pilots in academic year 2017-2018, operational as of 2018-2019

3: Student assessment <i>The programme has an adequate system of student assessment in place.</i>				Satisfactory
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends to limit the theses trajectory if possible, taking an optional internship into account	<b>Proposed action:</b> Introduction of a more structured and uniform thesis process.	<b>Actor(s)</b> Programme management, thesis coordinators, ICT-coordinator.	<b>Enter delivery date</b> Start investigations in 2017-2018, implementation as of 2018-2019.
Explanation: The programme's four-year yields could be improved. For this reason, the panel recommends to limit the thesis trajectory if possible, yet to consider the individual student's wishes to do an optional internship. To this end, as of September 2017 ESE is investigating options to develop and design a revised thesis process and workflow. Coordination and outlining with all parties involved could affect the time needed to get the results.				
<b>Page report</b> 19	<b>Quote for improvement:</b> The panel recommends considering using weighted criteria in the thesis assessment.	<b>Proposed action:</b> Improvement of the current thesis assessment and introduction of rubrics, adjusted to the ILO's.	<b>Actor(s)</b> Educational assessment expert, Examination Board.	<b>Enter delivery date</b> Start as of September 2017, implementation as of 2018.
Explanation: Offer well defined thesis assessment criteria to standardise the thesis grading expectations for students and supervisors by means of introducing rubrics (i.e. a matrix that specifies different levels of achievements per criterion). To this end, ESE aims to improve the current thesis assessment and to introduce rubrics. As of September 2017, the educational assessment expert, in collaboration with the policy officers, will start to investigate the overall assessment processes, in connection with the ILO's.				

**ESE's own additional points for improvements (Standard 3 is described in the Self-Assessment Report of the BSc Economics and Business Economics, p.23-28.):**

<b>Aim for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date</b>
More expertise about didactics and assessment quality	Hiring an educational expert and an educational assessment expert as of August 2016, an additional educational expert as of 2017	Head of ESC, programme management, Examination Board	As of academic year 2016-2017 onwards

Further monitoring the content of written tests that do pass the quick scan.	Further analysing the content of written tests by conducting sample surveys.	Examination Board, educational assessment expert	As of academic year 2016-2017 onwards
Investigate the possibilities of more digital assessments.	Investigate the possibilities to use more digital tests, by associating with the knowledge and facilities of the Innovation Hub and EUR-project Digital assessment of the Community for Learning and Innovation.	Educational Renewal Officers, participants in the Innovation Hub and EUR-project Digital assessment - CLI.	As of academic year 2016-2017 onwards

<b>4: Achieved learning outcomes</b>				<i>Satisfactory</i>
<i>The programme demonstrates that the intended learning outcomes are achieved.</i>				
<b>Page report:</b>	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

**ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 24):**

<b>Aim for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date</b>
Expanding the alumni network	Gathering information about alumni on a structural basis, by co-branding with ESE's student associations.	Alumni Officer, Head of Communication, Marketing, Internationalisation & alumni.	As of academic year 2017-2018 onwards



# Plan of Action – Master Accounting, Auditing and Control – CROHO 69313

## In response to the State of Affairs Assessment of December 2017

Version 12 February 2018

This Plan of Action describes concrete and testable (SMART) improvement proposals in response to the concerns in the critical self-evaluation, the site visit and the report of the committee. Proposals for improvement cover the period until the next midterm accreditation, in most cases, about three years. If many new improvements are necessary, a prioritization and planning for each action is indicated. For the Plan of Action, the following applies:

- a. All attention points mentioned in the committee report are included.
- b. In case of an 'unsatisfactory' to an assessment criteria the research unit relates a remedial action to every concern.
- c. In case of a 'very good' (or higher) to an assessment criteria the research unit can relate a remedial action to the concerns, but it may also differ if motivated.
- d. Every action should include the following features:
  - i. Actor
  - ii. Goal
  - iii. Time schedule / completion date
  - iv. Understanding of time, money and resources needed to implement the action
  - v. Methods of evaluation: in the midterm evaluation

<b>1: Intended learning outcome</b>				
<i>The intended learning outcomes tie in with the level and orientation of the programme; they are geared to the expectations of the professional field, the discipline, and international requirements.</i>				<i>Satisfactory</i>
<b>Page report:</b>	<b>Quote for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date:</b>
	none	N/A	N/A.	N/A

<b>2: Teaching - learning environment</b>				
<i>The curriculum, the teaching - learning environment and the quality of the teaching staff enable the incoming students to achieve the intended learning outcomes.</i>				<i>Satisfactory</i>
<b>Page report:</b>	<b>Quote for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s)</b>	<b>Enter delivery date</b>
14	The panel recommends improving the information provided to the students, by aligning different communication platforms.	Development and implementation of a new digital learning and working environment.	Head of ESC, ICT-coordinator, web developer.	Pilots in academic year 2017-2018, operational as of 2018-2019.
<p>Explanation: For the communication, the School uses various platforms (Blackboard, Sin-online, Osiris); the panel concluded that this is not very transparent for students.</p> <p>Students would prefer a more centralised information system. The creation of a digital learning and working environment at the EUR-level should solve this in the near future. This new system (Canvas) will be piloted in 2017-2018 and must be operational for all programmes as of academic year 2018-2019.</p> <p>The new learning environment will be introduced at EUR-level. A delay of its introduction will also affect the implementation at ESE. Instruction, guidance and support will be needed and will affect the implementation of the new digital learning environment.</p>				

3: Student assessment <i>The programme has an adequate system of student assessment in place.</i>				Satisfactory
<b>Page report</b> 15	<b>Quote for improvement:</b> The panel recommends to inform students more clearly and more comprehensively about the thesis process and the thesis assessment.	<b>Proposed action:</b> A project group will develop a Thesis Hub for all programmes, including revision and streamlining of the Thesis Manuals at programme level.	<b>Actor(s):</b> Thesis Hub responsible, Thesis Manual responsible, thesis coordinators.	<b>Delivery date:</b> Start investigations in 2017-2018, implementation as of 2018-2019.
<p>Explanation:</p> <p>Per specialisation a thesis manual has been drafted by the thesis coordinator of the department or section involved. The students with whom the panel met, were not very content with the information about the thesis process and the thesis assessment. In the panel's view, the thesis process is satisfactorily organised. This will be further improved, when the Thesis Workflow System is implemented. The panel recommends to inform students more clearly and more comprehensively about the thesis process and the thesis assessment. Currently, communication about the thesis is organised at different levels (school, department, programme, and supervisor) and scattered across the ESE website. In order to provide students with all the necessary information on a timely basis, the information would either need to be provided centrally, or there should be more coordination between departments regarding when, how, and what to communicate about the thesis.</p> <p>To solve this, ESE aims to set up a Thesis Hub, providing one point of information for students as part of their LMS. Next to all procedural information, the Hub will also contain various online modules with which students can train their writing and research skills. Furthermore, ESE wants to align the Thesis Manuals and design a release process for yearly versions of these manuals. To this end, as of September 2017 the school is investigating options to develop, set up and implement these plans.</p> <p>These plans will be applicable for the whole School. The bachelor coordinators, department directors, thesis coordinators, as well as the programme committees and School Council will be consulted in this process. Hence, coordination and outlining could affect the time needed to get the aimed results.</p> <p>Establishing a Workgroup Thesis Hub, including a Thesis Hub responsible, a Thesis Manual responsible, thesis coordinators, and students will be necessary to achieve the results.</p>				

<b>Page report</b> 15	<b>Quote for improvement:</b> The panel recommends considering using weighted criteria in the thesis assessment.	<b>Proposed action:</b> Improvement of the current thesis assessment and introduction of rubrics, adjusted to the ILO's.	<b>Actor(s)</b> Educational assessment expert, Examination Board	<b>Enter delivery date</b> Start in academic year 2017-2018, implementation in 2018-2019.
<p>Explanation: Offer well defined thesis assessment criteria to standardise the thesis grading expectations for students and supervisors by means of introducing rubrics (i.e. a matrix that specifies different levels of achievements per criterion). To this end, ESE aims to improve the current thesis assessment and to introduce rubrics. As of September 2017, the educational assessment expert, in collaboration with the policy officers, will start to investigate the overall assessment processes, in connection with the ILO's.</p>				

<b>4: Achieved learning outcomes</b>				<i>Satisfactory</i>
<i>The programme demonstrates that the intended learning outcomes are achieved.</i>				
<b>Page report:</b> -	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

# Plan of Action – Master Econometrics and Management Science – CROHO 60079

## In response to the Limited Programme Assessment of December 2017

Version 12 February 2018

This Plan of Action describes concrete and testable (SMART) improvement proposals in response to the concerns in the critical self-evaluation, the site visit and the report of the committee. Proposals for improvement cover the period until the next midterm accreditation, in most cases, about three years. If many new improvements are necessary, a prioritization and planning for each action is indicated. For the Plan of Action, the following applies:

- a. All attention points mentioned in the committee report are included.
- b. In case of an 'unsatisfactory' to an assessment criteria the research unit relates a remedial action to every concern.
- c. In case of a 'very good' (or higher) to an assessment criteria the research unit can relate a remedial action to the concerns, but it may also differ if motivated.
- d. Every action should include the following features:
  - i. Actor
  - ii. Goal
  - iii. Time schedule / completion date
  - iv. Understanding of time, money and resources needed to implement the action
  - v. Methods of evaluation: in the midterm evaluation

<b>1: Intended learning outcome</b>				
<i>The intended learning outcomes tie in with the level and orientation of the programme; they are geared to the expectations of the professional field, the discipline, and international requirements.</i>				<i>Satisfactory</i>
<b>Page report: -</b>	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

<b>2: Teaching - learning environment</b>				
<i>The curriculum, the teaching - learning environment and the quality of the teaching staff enable the incoming students to achieve the intended learning outcomes.</i>				<i>Good</i>
<b>Page report:</b> 14	<b>Quote for improvement:</b> The panel recommends improving the information provided to the students, by aligning different communication platforms.	<b>Proposed action:</b> Development and implementation of a new digital learning and working environment.	<b>Actor(s)</b> Head of ESC, ICT-coordinator, web developer.	<b>Enter delivery date</b> Pilots in academic year 2017-2018, operational as of 2018-2019.
<p>Explanation:</p> <p>For the communication, the School uses various platforms (Blackboard, Sin-online, Osiris); the panel concluded that this is not very transparent for students.</p> <p>Students would prefer a more centralised information system. The creation of a digital learning and working environment at the EUR-level should solve this in the near future. This new system (Canvas) will be piloted in 2017-2018 and must be operational for all programmes as of academic year 2018-2019.</p> <p>The new learning environment will be introduced at EUR-level. A delay of its introduction will also affect the implementation at ESE. Instruction, guidance and support will be needed and will affect the implementation of the new digital learning environment.</p>				

ESE's additional points for improvements (see Self-Assessment Report, fall 2016, p. 21):

Aim for improvement:	Proposed action:	Actor(s):	Delivery date
Improvement of the student/staff ratio and to address to the workload	Part of the Quality Impetus Programme includes hiring additional teaching capacity. The skills programme as well as the introduction of the Thesis Hub aim to unburden staff.	Programme Directors, programme management, project manager Quality Impetus Programme	From academic year 2017-2018 onwards

3: Student assessment				Satisfactory
<i>The programme has an adequate system of student assessment in place.</i>				
Page report	Quote for improvement:	Proposed action:	Actor(s):	Delivery date:
	See Plan of Action Education – BSc Econometrics and Operations Research.			

ESE's own additional points for improvements (Standard 3 is described in the Self-Assessment Report of the BSc Economics and Business Economics, p.23-28.): See Plan of Action Education – BSc Econometrics and Operations Research.

4: Achieved learning outcomes				Good
<i>The programme demonstrates that the intended learning outcomes are achieved.</i>				
Page report:	Quote for improvement:	Proposed action:	Actor(s):	Delivery date:
-	none	N/A	N/A	N/A

ESE's additional points for improvements (see Self-Assessment Report, fall 2016, p. 22):

Aim for improvement:	Proposed action:	Actor(s):	Delivery date
Expanding the alumni network	Gathering information about alumni on a structural basis, by co-branding with ESE's student associations.	Alumni Officer, Head of Communication, Marketing, Internationalisation & alumni.	As of academic year 2017-2018 onwards

# Plan of Action – Master Economics and Business – CROHO 60652

## In response to the Limited Programme Assessment of December 2017

Version 15 March 2018

This Plan of Action describes concrete and testable (SMART) improvement proposals in response to the concerns in the critical self-evaluation, the site visit and the report of the committee. Proposals for improvement cover the period until the next midterm accreditation, in most cases, about three years. If many new improvements are necessary, a prioritization and planning for each action is indicated. For the Plan of Action, the following applies:

- a. All attention points mentioned in the committee report are included.
- b. In case of an 'unsatisfactory' to an assessment criteria the research unit relates a remedial action to every concern.
- c. In case of a 'very good' (or higher) to an assessment criteria the research unit can relate a remedial action to the concerns, but it may also differ if motivated.
- d. Every action should include the following features:
  - i. Actor
  - ii. Goal
  - iii. Time schedule / completion date
  - iv. Understanding of time, money and resources needed to implement the action
  - v. Methods of evaluation: in the midterm evaluation



<b>1: Intended learning outcome</b>				
<i>The intended learning outcomes tie in with the level and orientation of the programme; they are geared to the expectations of the professional field, the discipline, and international requirements.</i>				<i>Satisfactory</i>
<b>Page report: -</b>	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

<b>2: Teaching - learning environment</b>				
<i>The curriculum, the teaching - learning environment and the quality of the teaching staff enable the incoming students to achieve the intended learning outcomes.</i>				<i>Good</i>
<b>Page report:</b> 14	<b>Quote for improvement:</b> The panel recommends improving the information provided to the students, by aligning different communication platforms.	<b>Proposed action:</b> Development and implementation of a new digital learning and working environment.	<b>Actor(s)</b> Head of ESC, ICT-coordinator, web developer.	<b>Enter delivery date</b> Pilots in academic year 2017-2018, operational as of 2018-2019.
<p>Explanation: For the communication, the School uses various platforms (Blackboard, Sin-online, Osiris); the panel concluded that this is not very transparent for students.</p> <p>Students would prefer a more centralised information system. The creation of a digital learning and working environment at the EUR-level should solve this in the near future. This new system (Canvas) will be piloted in 2017-2018 and must be operational for all programmes as of academic year 2018-2019.</p> <p>The new learning environment will be introduced at EUR-level. A delay of its introduction will also affect the implementation at ESE. Instruction, guidance and support will be needed and will affect the implementation of the new digital learning environment.</p>				

**ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 18):**

<b>Aim for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date</b>
Improvement of the student/staff ratio and to address to the workload	Part of the Quality Impetus Programme includes hiring additional teaching capacity. The skills programme as well as the introduction of the Thesis Hub aim to unburden staff.	Programme Directors, programme management, project manager Quality Impetus Programme	From academic year 2017-2018 onwards
Monitoring differences in organisational and administrative elements in master specialisations at department level	Meetings with Academic Directors twice a year	Academic Directors, Programme Management	As of 2016

<b>3: Student assessment</b>				<i>Satisfactory</i>
<i>The programme has an adequate system of student assessment in place.</i>				
<b>Page report</b>	<b>Quote for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date:</b>
See Plan of Action Education – BSc Economics and Business Economics.				

**ESE's additional points for improvements (see Self-Assessment Report BSc Economics and Business Economics, fall 2016, p. 28):**

See Plan of Action Education – BSc Economics and Business Economics.

<b>4: Achieved learning outcomes</b>				<i>Satisfactory</i>
<i>The programme demonstrates that the intended learning outcomes are achieved.</i>				
<b>Page report:</b>	<b>Quote for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date:</b>
-	none	N/A	N/A	N/A

**ESE's additional points for improvements (see Self-Assessment Report, fall 2016, p. 22):**

<b>Aim for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date</b>
Expanding the alumni network	Gathering information about alumni on a structural basis, by co-branding with ESE's student associations.	Alumni Officer, Head of Communication, Marketing, Internationalisation & alumni.	As of academic year 2017-2018 onwards

# Plan of Action Education – Master Economics and Taxation – CROHO 66402

## In response to the Limited Programme Assessment of December 2017

Version 15 March 2018

This Plan of Action describes concrete and testable (SMART) improvement proposals in response to the concerns in the critical self-evaluation, the site visit and the report of the committee. Proposals for improvement cover the period until the next midterm accreditation, in most cases, about three years. If many new improvements are necessary, a prioritization and planning for each action is indicated. For the Plan of Action, the following applies:

- a. All attention points mentioned in the committee report are included.
- b. In case of an 'unsatisfactory' to an assessment criteria the research unit relates a remedial action to every concern.
- c. In case of a 'very good' (or higher) to an assessment criteria the research unit can relate a remedial action to the concerns, but it may also differ if motivated.
- d. Every action should include the following features:
  - i. Actor
  - ii. Goal
  - iii. Time schedule / completion date
  - iv. Understanding of time, money and resources needed to implement the action
  - v. Methods of evaluation: in the midterm evaluation

<b>1: Intended learning outcome</b>				
<i>The intended learning outcomes tie in with the level and orientation of the programme; they are geared to the expectations of the professional field, the discipline, and international requirements.</i>				<i>Satisfactory</i>
<b>Page report:</b> -	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A

<b>2: Teaching - learning environment</b>				
<i>The curriculum, the teaching - learning environment and the quality of the teaching staff enable the incoming students to achieve the intended learning outcomes.</i>				<i>Satisfactory</i>
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends to improve the balance between fiscal and legal subjects in the curriculum.	<b>Proposed action:</b> The master programme already provides legal subjects in seminars and courses. No further action is required.	<b>Actor(s)</b> N/A	<b>Delivery date</b> N/A
	<p>Explanation: The panel approves of the balanced combination of economic, fiscal and legal knowledge in the programme's goals and intended learning outcomes. The panel remarked that the international dimension of tax law is adequately addressed in the courses (see p. 15).</p> <p>The programme already offers legal subjects and courses in the master. Therefore, the programme will not follow-up on this recommendation, as no further action is required.</p>			
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends collaborating with the Fiscal department of Erasmus School of Law.	<b>Proposed action:</b> Development of a new Master specialisation in collaboration with ESL.	<b>Actor(s)</b> Director, Bachelor coordinator, ESL	<b>Delivery date</b> As of academic year 2017-2018 onwards
	<p>Explanation: ESE aims to further collaborate with Erasmus School of Law. In 2017-2018 possibilities will be elaborated together with ESL to develop a new Master specialisation, as a partnership between ESE and ESL.</p>			

<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends lecturers to carry out scientific research, to meet ESE's requirements on academic research.	<b>Proposed action:</b> More collaboration with Erasmus School of Law.	<b>Actor(s)</b> Programme management, Director, ESL	<b>Delivery date</b> As of 2018-2019 onwards
<p>Explanation: According to the panel and the students, the lecturers have excellent didactic qualities. On the other hand, scientific research carried out by the lecturers does not fully meet the requirements of the Erasmus School of Economics. The panel recommends carrying out research according to the requirements of the School; where possible, the opportunities and requirements for fiscal scientists should be taken into account. According to the panel, the School could provide more time for research to the teachers.</p> <p>The programme's staff experiences that no international leading journals are interested in publications on Dutch taxation. Contrary to Economics and Taxation, Erasmus School of Law has its resources for publications on Fiscal Law. The programme aims to collaborate with Erasmus School of Law to connect with these resources.</p>				
<b>Page report:</b> 15	<b>Quote for improvement:</b> The panel recommends to start the replacement of one the professors, to maintain the current level of education.	<b>Proposed action:</b> Recruitment and appointment of a new professor on Economics and Taxation at ESF/ESL.	<b>Actor(s)</b> Erasmus school of Law	<b>Delivery date</b> 2018

**ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 20):**

<b>Aim for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date</b>
Improvement of the student/staff ratio and to address to the workload	Part of the Quality Impetus Programme includes hiring additional teaching capacity. The skills programme as well as the introduction of the Thesis Hub aim to unburden staff.	Programme Directors, programme management, project manager Quality Impetus Programme	From academic year 2017-2018 onwards
Students want an integration of information systems	Development and implementation of a new digital learning and working environment.	Head of ESC, educational experts, ICT-coordinator, web developer.	Pilots in academic year 2017-2018, operational as of 2018-2019

<b>3: Student assessment</b> <i>The programme has an adequate system of student assessment in place.</i>				<i>Satisfactory</i>
<b>Page report</b> 16	<b>Quote for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date:</b>
	See Plan of Action Education – BSc Economics and Taxation			

ESE's own additional points for improvements (Standard 3 is described in the Self-Assessment Report of the BSc Economics and Business Economics, p.23-28.): See Plan of Action Education – BSc Economics and Taxation

<b>4: Achieved learning outcomes</b> <i>The programme demonstrates that the intended learning outcomes are achieved.</i>				<i>Satisfactory</i>
<b>Page report:</b> -	<b>Quote for improvement:</b> none	<b>Proposed action:</b> N/A.	<b>Actor(s):</b> N/A	<b>Delivery date:</b> N/A.

ESE's own additional points for improvements (see Self-Assessment Report, fall 2016, p. 20):

<b>Aim for improvement:</b>	<b>Proposed action:</b>	<b>Actor(s):</b>	<b>Delivery date</b>
Expanding the alumni network	Gathering information about alumni on a structural basis, by co-branding with ESE's student associations.	Alumni Officer, Head of Communication, Marketing, Internationalisation & alumni.	As of academic year 2017-2018 onwards

Prof. dr I.J.M. Arnold,  
Programme Director ESE

**Date**  
08-03-2018

**Subject**  
Views on plan of Action  
re NVAO decision  
from Programme Committee  
Accounting, Auditing and Control

**Page**  
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**Appendix**  
none

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ESE, PC AAC

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Dear Professor Arnold,

The Programme Committee AAC has discussed -via e-mail- the Plan of Action in response to the Assessment of the Master Accounting, Auditing and Control. The plan contains two main subjects for improving the Master AAC that will be addressed below.

1. Improving the information to students by merging different platforms into one (Canvas).

The PC AAC agrees with the advice to improve communication platforms, and looks forward to the implementation of Canvas as a central/single info and communication system. Now, lecturers often communicate the same message across different channels (e.g., Blackboard, e-mail and/or SIN-Online messages) to ensure students get the information. Students will benefit as well when they do not have to check different channels. However, student members stress that communication is not only a matter of how (through what platforms) but also a matter of what (the content of the information) and when (the timeliness).

2. Developing Thesis Hub (including revision and streamlining Thesis Manuals) and improve thesis assessment.

The PC AAC agrees with the advice to develop an ESE-wide Thesis Hub. At our programme, we tend to start early to inform students regarding the thesis process; still students express the wish to be informed more extensively and sooner. When all information can be found on the Thesis Hub website, this information could be incorporated in a separate thesis introduction during the master kick-off and referred to during the rest of the year.

Regarding the assessment, PC AAC staff members do not encounter any problems while grading the thesis; however, they see the benefits of defining thesis assessment criteria better.

With kind regards, on behalf of the Programme Committee,



Dr. Edith Leung,  
Chair PC AAC

PS. this letter will be sent to the School Council for information

Dear Professor Arnold,

As the Programme Committee for Economics and Taxation, we assessed the Plans of actions regarding education (version 12 February 2018). For the most part we endorse the actions. However we have a number of questions / comments. As follows:

### **Bachelor Economics and Taxation**

1. Page 3 Plan of action. The PC is not informed about extra writing skills courses in a bachelor 1 course as of 2018-2019. Can you give us an explanation?
2. Page 4 Plan of action. We endorse the position of the panel wherein the School could provide more time for research to the teachers. In the proposed action is written that we should collaborate more with ESL. We think this is a good development but we don't understand the programme aims to collaborate with ESL to connect with these resources. Will ESE also make resources available? Teachers need to do research to stay good teachers.
3. Page 5 Plan of action. The panel recommends collaborating with the Fiscal Department of ESL. The proposed action is the development of a new Master specialisation. We think this should be omitted in the Plan of action for the Bachelor.
4. Page 5 Plan of action. The panel recommends to start the replacement of one of the professors to maintain the current level of education. The proposed action is the recruitment and appointment of a new professor on Economics and Taxation at EFS/ESL. We don't understand why the action should be that of ESL, and not of ESE. We furthermore like to know if the professor also will be linked to the department of Economics and Taxation.

### **Master Economics and Taxation**

1. Page 3 Plan of action. We endorse the position of the panel wherein the School could provide more time for research to the teachers. In the proposed action is written that we should collaborate more with ESL. We think this is a good development but we don't understand the programme aims to collaborate with ESL to connect with these resources. Will ESE also make resources available? Teachers need to do research to stay good teachers.
2. Page 3 Plan of action. The panel recommends to start the replacement of one of the professors to maintain the current level of education. The proposed action is the recruitment and appointment of a new professor on Economics and Taxation at EFS/ESL. We don't understand why the action should be that of ESL, and not of ESE. We furthermore like to know if the professor also will be linked to the department of Economics and Taxation.

We look forward to your response.

Kind regards,

Dr. Yvonne Tigelaar-Klootwijk  
Chair Programme Committee Economics of Taxation



Prof. dr I.J.M. Arnold,  
Programme Director ESE

**Date**  
13-03-2018

**Subject**  
Advice from Programme Committee  
Economics and Business Economics  
re Action Plans NVAO assessment

**Page**  
1/1

**Appendix**  
none

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Dear Professor Arnold,

Upon your request, the members of the Programme Committee Economics and Business Economics discussed the action plans for the Bachelor and Master Economics and Business Economics in their meeting of 9 March.

The PC members noted that a number of actions have already been started and have been discussed in this committee before. Overall, the plan of action is considered a good response to the recommendations and the self-evaluations. Furthermore, during the meeting Iris Versluis addressed the majority of the questions sufficiently.

However, the PC has a few remarks on the action plans:

Regarding choice of minors: we suggest adding a line to the proposed action that includes investigating collaboration with other EUR schools to develop interesting minors for ESE students.

The Programme Committee suggests adding actions regarding math. In the self-evaluation, it was noted that part of the high drop-out was related to the low level of math skills for a part of the incoming students. Therefore, we propose to:

- a) create a / extend the online math course offered to prospective students (both bachelor and master) to bring their knowledge of math to the appropriate level.
- b) create online material that students can return to during the programme when needed.
- c) Investigate whether the online math course as implied under a) can be made mandatory for particular groups of incoming students.

With kind regards, on behalf of the Programme Committee,

A handwritten signature in black ink, appearing to be 'J. Delfgaauw', written in a cursive style.

Dr J. Delfgaauw,  
chair

PS. this letter will be sent to the School Council for information

The Student members and Staff members of the Programme Committee Econometrics have no comments on the Action Plans and support the proposed plans

## Brief report of the meeting Educational Innovation with participation bodies - 22 February 2018

### Request to Programme Committees

#### Report:

Monique Klück, Programme manager of the Quality Impetus Project, starts explaining the aim of the meeting. Upon request by students members of a Programme Committee and the School Council, the meeting was set up to demonstrate (a few of) the current tools that were implemented with assistance of the Innovation Hub and to discuss how Programme Committees can help to expand more innovative education at Erasmus School of Economics. Students feel that innovative ways of education are beneficial for Erasmus School of Economics and its students.

Erasmus School of Economics has not been imposing innovation on lecturers. Course coordinators/lecturers are in the lead regarding the content and design of their course/tutorials. However, Erasmus School of Economics does actively stimulate and support lecturers to innovate their courses by advising and informing (for example via [the website](#)) them regarding possible innovative tools and experiences of colleagues.

Presentation of four ways to innovate education:

- Example of redesigning a course (by Ted Welten – lecturer AAC)
- ANS online tool for grading (by Bas van Goozen - Innovation Education Officer)
- Sowiso online tool for education (by Daan Deurloo - TA)
- Turn it in online tool for assessment and plagiarism (by Eugenie de Jong - TA)

Following the presentations, attendants are requested to discuss the following questions:

- What is important regarding educational renewal?
- How can students be more involved in educational renewal?

Attendants find it important that staff and students are informed as much as possible. However, lecturers seem to the initial extra time investments (although TA's can be hired to do at least part of the extra work). Several ways of involving students (focus groups, special events) are discussed. However, attendants conclude that participation bodies (especially Programme Committees) are the right places to discuss innovation of education. This could be done for example by inviting an innovation hub officer to be present when the PC discusses the curriculum/courses, by inviting the innovation hub officers to demonstrate /present new digital tools during meetings of the PC, or by organising a yearly innovation meeting of PC (or several PC's) and Innovation hub officers.

#### Request:

Since all PC's work in slightly different ways and not all PC's were represented during the meeting, the Innovation Hub would like to know the views of the separate Programme Committees regarding:

- The suggestion of the attendants that the existing participation bodies are sufficient to get students involved in educational renewal/ innovation (so new initiatives like for instance focus groups are not needed)
- The suggestion to let a innovation hub officer be present during PC meetings
- The suggestion to organize demo's or presentations for PC's
- The suggestion to organize a yearly innovation meeting

See mailing list,  
Sent by e-mail only

**Date**  
6 March 2018

**Subject**  
Candidates for 2017 elections to ESE  
School Council, final version

**Our reference**  
PG/pe/ese 36862

**Your reference**

**Page**  
1

**Appendix**  
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Dear all,

In connection with the election of student members to the School Council for the academic year 2018-2019, it was determined today, on 6 March 2018 that 5 student candidates were valid candidates. Since 5 candidates are available for 7 seats, the following student candidates are deemed to be elected immediately ((cf ESE [Election Regulations](#) art 15):

initials	name	first name	student number	findings of elections office regarding candidacy
A.A.M.	Abdullatif	Amr	446332	valid
S.	Ghose	Shubhojit	430159	valid
V.	Veltman	Vera	455451	valid
B.A.	Geerse	Bonno	482962	valid
N.	de Korte	Nordin	412960	valid

Since two seats are still vacant, ESE Election office has decided to extend the term for candidate nominations by five (5) working days (cf [Election Regulations](#) art 15-3), **until Monday 12 March, 2018, noon**. If there will be more than 2 candidates, elections will be held for the two available seats. The above-mentioned extension will be announced as soon as possible to all ESE students.

Drawn up by the School Elections Office of the ESE,

Professor Bas (A.C.D.) Donkers  
Chair of the School Elections Office

See mailing list,  
Sent by e-mail only

**Date**  
12 March 2018

**Subject**  
Candidates for 2018 elections to two  
seats for the ESE School Council

**Our reference**  
BB/pe/ese 36877

**Your reference**

**Page**  
1/2

In connection with the election of members to the School Council, 10 students have notified the School Elections Office that they wish to put themselves forward as candidates for the two remaining seats for the School Council. All candidates' forms were checked by the Elections Office and the candidates below were declared to be valid.

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Mailing list

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**E** decaan@ese.eur.nl  
**W** www.eur.nl/ese/english

initials	name	first name	student number	findings of elections office regarding candidacy
S.A.	Abu Ramadan	Shirin	456101	valid
J.	Potuzak	Jan	452046	valid
S.A.	Kale	Sarika	446355	valid
P.	Arun Kunnil	Paul	451396	valid
C.P.	Nijman	Carolien	448870	valid
F.M.	van Meer	Florine	435101	valid
A.A.	Colijn	Alycia	406185	valid
F.D.M.	Roos	Friso	484538	valid
A.A.S.S.	Elfaham	Abdelaziz	424442	valid
T.A.S.C.	Mota	Tomas	457531	valid

Since there are 10 valid candidates for 2 seats, elections will be held. The elections will take place in accordance with the time frame prescribed by the university:

- Candidates will be given the opportunity **until March 29** to submit a short passage of text (usually 1/2 of a sheet of A4) and a photo to the Central Elections Office **in digital form** (Ms. Sabiha El Ghafour-Aboulâsri LLM, e-mail address [stembureau@eur.nl](mailto:stembureau@eur.nl)).
- The ESE Management team has made available an individual campaign budget of max. 50 euros per candidate (for promotional materials such as flyers, pencils, buttons etc). Expense claims (form attached) should be submitted (with receipts) to the secretariat at (H06-26) **before Tuesday 24 April, noon**.

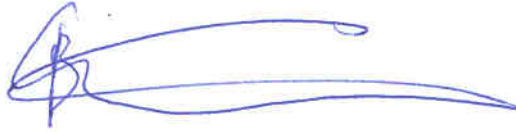
Page  
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Our reference  
BB/pe/ese 36877

Your reference

- From 18-25 April 24:00 hours, the elections will take place.
- The results of the validly cast votes will be determined as soon as possible after the elections, **not later than 1 May, 2017**. The results will be notified to the elected individuals and be available for inspection at the elections office soon thereafter.

Drawn up by the School Elections Office of the ESE,

A handwritten signature in blue ink, consisting of a stylized initial 'B' followed by a long, horizontal, slightly wavy line.

Professor Bas (A.C.D.) Donkers  
Chair of the ESE Elections Office

To: Challenge accepted fund  
P/a EUR Executive Board ([cvb@eur.nl](mailto:cvb@eur.nl))  
and  
Stichting Erasmus Trustfonds  
[secretariaat@trustfonds.nl](mailto:secretariaat@trustfonds.nl)  
cc EUR University Council and  
ESE dean

Date  
12-02--2017

Subject  
Investments 'Challenge Accepted' Fund

Our reference  
ESE 36787

Your reference

Page  
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Appendix  
none

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Dear Sir/Madam,

On behalf of the members of the Erasmus School of Economics School Council, I would like to request your attention to the following.

With the slogan 'Challenge Accepted', Erasmus University Rotterdam and Erasmus Trustfonds launched jointly a campaign that aims to allow the university to take on the societal challenges of the 21st century. Their ambition is to create an endowment fund of EUR 100 million by 2025. Until November 8<sup>th</sup>, a group of donors have already donated a sum of over 26 million euro. With the EUR and Erasmus Trustfund the ESE School Council is pleased with this achievement.

However, we wish to express our wish for a morally just investment management strategy of the 'Challenge Accepted' Funds. As we represent all stakeholders of the Erasmus School of Economics, including alumni and future alumni, we want to ask you to invest the funds in such a manner that the investments will not lead to (additional) environmental harm. Furthermore, we would like to stress that there is no construction to explicitly avoid taxes. In addition, we would like to request to not invest in companies that are making their money in smoking (e.g. Philip Morris), fossil fuels (e.g. Shell) or companies with dubious working conditions (e.g. Amazon).

We hope that you will invest in companies that are giving the good example themselves, and that are trying to make the world a better place. By doing that, we believe that the 'Challenge Accepted' Fund will already contribute to their set goals: vital cities, better health and healthcare and inclusive prosperity.

Could you please inform us if and how the investments can contribute to the set high ambitions of the 'Challenge Accepted' Fund?

With kind regards,

Sibren Iwema,  
Chair ESE School Council 2017-2018



**From:** Secretariaat | Erasmus Trustfonds  
**To:** [Paula Endevelt](#); [College van Bestuur, EUR](#); [Secretariaat | Erasmus Trustfonds](#)  
**Cc:** [Decaan, ESE](#); [University Council, EUR](#)  
**Subject:** RE: investments Challenge Accepted Fund  
**Date:** 15 February 2018 17:27:30

---

Dear ESE- School Council Chair & Members,

Herewith, I kindly thank you for your letter and your specific notifications in this letter.

The Erasmus Trustfund investment policy is, and will be based in the future as well, on balanced investment believes which match the organisation and the challenge we have started together with the involved parties.

Our internal investment policy discussion include the examples listed in your notifications and is made part of the recent process of re-balancing this policy for our organisation.

Pls note on our website more public information is to be found regarding the actual investment policy:

<https://www.trustfonds.nl/over-het-erasmus-trustfonds/vermogens-en-beleggingsbeleid/>

Hope the above answers your concerns.  
Vriendelijke groeten/ Best regards

*Mariëlle*

mr. Mariëlle van Eesteren – van de Erve  
Director / ambtelijk secretaris Erasmus Trustfonds

*De informatie opgenomen in dit bericht en eventuele bijlagen is uitsluitend bestemd voor de geadresseerde en kan vertrouwelijk zijn. Indien u dit bericht ten onrechte ontvangt, wordt u verzocht de afzender direct te informeren door terugzending van dit bericht, en vervolgens dit bericht met eventuele bijlagen te verwijderen. This message and any attachments thereto are intended exclusively for the addressee thereof and may be confidential. If you are not the intended recipient of this message, please notify the sender by returning this message and thereupon delete it and any attachments from your system.*

---

**Van:** Paula Endevelt [mailto:endevelt@ese.eur.nl]

**Verzonden:** donderdag 15 februari 2018 14:46

**Aan:** College van Bestuur, EUR <cvb@eur.nl>; Secretariaat | Erasmus Trustfonds <secretariaat@trustfonds.nl>

**CC:** Decaan, ESE <decaan@ese.eur.nl>; University Council, EUR <university.council@eur.nl>

**Onderwerp:** investments Challenge Accepted Fund

Dear Sir/Madam,

Please find attached a letter from Erasmus School of Economics' School Council regarding the Challenge Accepted fund.

This letter is sent for information to the University Council and ESE's dean.

With kind regards,

Paula Endevelde  
Secretary participation bodies

Erasmus School of Economics

Tinbergen Building, office H6-16

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E [endevelde@ese.eur.nl](mailto:endevelde@ese.eur.nl)

# Cover note University Council

Document number: 17.0001047

Case number: b17.00891

Details		
Topic		Revision of the Allocation Model
To be discussed before		15-12-2017
Author / Section		Jellema/CPC
Handled by (to be invited to the committee)		Who needs to be invited to the committee?
Date		18-4-2017

Context / Reason
Ecorys has drafted a proposal for the revision of the EUR allocation model. This has been discussed in the CvB and the deans. It was decided to proceed with the proposed revision variant 6.

Jurisdiction UC / Question to the UC
Right of consent on changes in the allocation model.

Short Summary
<p>With the revision the allocation model of the EUR consists of six boxes to which the funds will be allocated. The budget for the medical education and research (“<i>Werkplaatsfunctie Geneeskunde</i>”), which is part of the government grant is transferred on a one-on-one basis (box 1). The same rule is applied for the resources for ISS and IHS (box 2). For the shared services organisations (USC, UL and ABD) it is decided that they each receive a fixed percentage of the “<i>eerste geldstroom</i>” (box 3). This makes the financing of the Shared Services organisations more straight forward (and solves problem 2). In the revised model all the non-structural funds with a strategic character are bundled in one box “Strategic Funds” (box 4). The alignment of the allocated financial resources with the EUR-strategy can be attained within this box. The funds that are allocated to the faculties is the Faculty Allocation Model (box 5). The allocation mechanism for this box is comparable with the current allocation mechanism, i.e. a flat fee plus a performance based budget. The last box consist of budgets that have a central (EUR wide) character but are not strategic. This box is called the direct purposes funds (box 6).</p> <p>Compared to the current situation:</p> <ul style="list-style-type: none"><li>• the transparency increases;</li><li>• the allocation of resources for the shared service organisations is straightforward;</li><li>• the Faculty Allocation Model only allocates block grants to the faculties and no longer specific grants;</li><li>• and finally the combination of all strategic resources in one box provides more possibilities for the Executive Board to financially facilitate the EUR strategy.</li></ul>

Follow-up process
What is the follow-up after it has been handled by the UC?

## Specifics

Are there specific circumstances the UC must take into account? For instance a confidential treatment of this topic, or specific previous cases that are related?

**Documents to be attached**

Provide the documents that belong to this topic in the correct order. Please note that the documents should (also) be delivered in English

# Revision of the EUR Allocation Model

## Final Report

Commissioned by: Erasmus University Rotterdam

Rotterdam, 25 October 2017





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## List of definitions

Allocation model	The instrument to allocate the government funding and tuition fees to the organisational units.
Block grant	Allocated money without any constraints. The faculty can decide on the way the money is spend (e.g. education versus research, or primary process versus faculty overhead)
Budget (“ <i>Begroting</i> ”)	The estimate of costs, revenues, and resources for the coming, reflecting (financial) conditions and goals
Budget for medical education and research (“ <i>Werkplaatsfunctie Geneeskunde</i> ”).	The part of the government grant that according to Section 2.12. “Special provision regarding university hospitals” of the Higher Education and Research Act must be transferred to the medical centres immediately.
Compulsory settlements	Amounts payable by the faculties to the shared services organisations on the basis of, for example, contribution to ICT licenses. These amounts are deducted virtually immediately from the amounts allocated to the faculties.
Direct funding	The total of government grants plus tuition fees for the university as a whole.
Direct purposes fund	In the revised model the box that contains all items that have a central (EUR wide) character but are not strategic.
ECTS	A uniform system of credits: the European Credit Transfer and Accumulation System (ECTS). In the Netherlands 1 ECTS is equal to 28 hours of work for a student. 60 ECTS therefore equates to an academic year of 42 weeks.
Faculty Allocation Model (FAM)	In the current situation this is the Performance Based Allocation Part. In the revised model this is the box in which the block grants to the faculties are allocated.
Flat fee	A fixed amount of money that doesn’t change when for instance the number of students changes or the height of the government grant.
Government grant	The amount received from the Ministry of Education, Culture and Science. This includes not only the model based part but also the budget for medical education and research (“ <i>Werkplaatsfunctie Geneeskunde</i> ”), and the resources for ISS and IHS. These three are transferred on a one-on-one basis to the relevant organisations.
Internal invoicing	Invoicing of the shared services to the faculties, consisting of compulsory settlements, structural voluntary invoicing and incidental voluntary invoicing
Pay-out-ratio (p.o.r.)	A formula that serves as an equilibrium of direct funding and allocated resources.
Rate	The amount of money that will be allocated to a faculty for each unit of a given parameter. In the Faculty Allocation Model a large part is allocated on the basis of performance with a “P x Q” formula. The rate serves in this formula as “P”.
Retrospectivity	The phenomenon that some parameters are calculated as an average of the past three years. The effect is that changes in performance have a tempered effect in the allocation.

Scenario	A description of possible events in the future, e.g. an increase or decrease of the inflow of freshmen.
Shared service organisations	USC, UL and ABD
Specific grant	Allocated money with a compulsory use of money
Strategic Budget	In the current model the budget for the Executive Board of € 17.5 million
Strategic Funds	In the revised model the total of all strategic, non-structural budgets. The Executive Board decides on the allocation.
Tuition fees	The total of all tuition fees: Most students pay a government-set tuition fee. Some of the students pay student fees set by the institutions (the so-called " <i>instellingscollegegeld</i> "), an amount that in many cases is higher than the normal government-set tuition fee. The difference between the government-set tuition fee and the " <i>instellingscollegegeld</i> " is transferred to the faculty.

DRAFT

## Executive summary

This project aims at the revision of the allocation model which the Erasmus University currently uses to allocate the government grant and tuition fees to its organisational bodies. It therefore focuses on the direct funding (in Dutch: “*eerste geldstroom*”), and does not discuss the secondary and tertiary funding. Furthermore one has to keep in mind that the model is only an instrument to allocate the direct funding to the organisational units and is not the budget (“*begroting*”) for the university.

The process of the revision was facilitated by Ecorys.

Three main strategic considerations led the Executive Board of the EUR to start the process for this revision:

- Stimulating cooperation between faculties. This cooperation includes the improvement of facilitating the mobility and exchange of students between faculties and further stimulation of joint research programs,
- Stimulating the quality of education and research, and
- Reconsidering the financial position of the shared services.

The Executive Board stated that the aims and strategy for the coming period must be supported by the EUR allocation model. In addition, the involvement of the University Council with respect to the main features of the allocation model is important. In the previous term of office, the University Council had a strong desire for a revision of the EUR allocation model.

However, the key requirements for the revision had to be drafted by the key stakeholders within the EUR: the faculties, the University Council, and the shared services organisations. Therefore, in the process of the revision, all organisation bodies of the EUR had to be “on board” and involved in the key decisions that evolved in relation to the new model.

For these interviews, individual work sessions and group work sessions were held with the EUR stakeholders. The exploratory interviews with all stakeholders revealed that a fundamental revision of the EUR allocation model was not felt to be very urgent. Such urgency could have arisen from a lack of funds on the part of the faculties or a sense of limitation in the context of achieving aims, however this did not appear to be the case. The interviews also revealed that there is concern as to whether or not a thorough revision of the EUR allocation model would do more harm than good in terms of, for example, stirring up the discussion about allocation between faculties at a time when each faculty is reasonably pleased with the current model. Nevertheless, since the current EUR allocation model dates from 2004, virtually all stakeholders share an interest in considering the matter. Numerous additions and alterations were applied during the years since 2004. and as a result, the model was not very transparent.

In addition to the lack of transparency of the model, stakeholders had another reason for a revision. The fact that the University Support Centre was established also constitutes a reason to revise the EUR allocation model. The shared services organisations are currently funded through five different channels. The fixed amount that the services receive comes from the budget for the direct funding prior to allocation to the faculties. In addition, part of the funding is provided by means of internal invoicing based on services provided to the faculties that purchased the services. These flows

make the allocation process complicated and obscure. The funding of these services must be made more transparent.

The faculties and shared services organisations stated that the most important reasons for changing the current model are its limited transparency (problem 1), and the financial position of the shared services (problem 2).

For the faculties, the first two strategic considerations of the Executive Board were of less importance. They considered the Faculty Allocation Model only as an instrument that provides them with the resources for their primary process of education and resource. In their view, the allocation model is not an appropriate instrument to implement or steer the university's strategy. The Strategic Budget is sufficient enough for that purpose. At the same time, it is recognised that the current model contains items that have a strategic character and are allocated on a non-structural basis.

When designing the revised model, some important building blocks were established. Firstly, in order to increase the transparency (i.e. solving problem 1) a vast number of individual items are combined. The new model consists of only six boxes. The resulting allocation to the faculties has the form of a block grant. When specific grants are needed they are put together in one box.

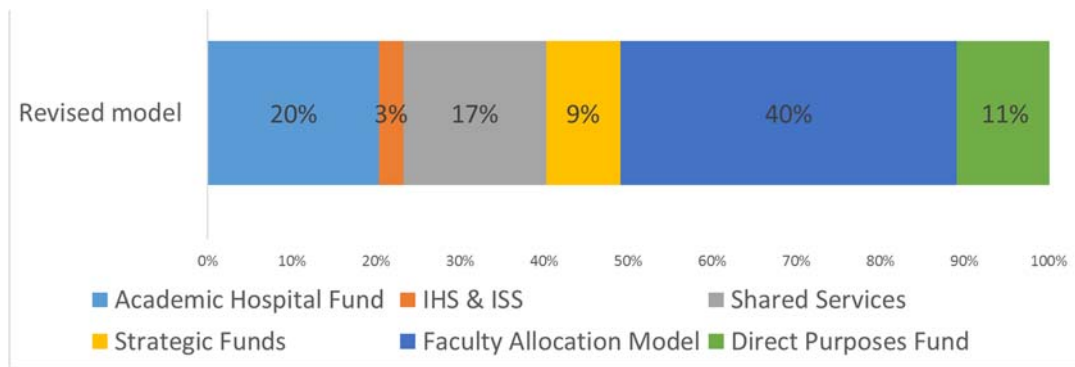
Furthermore the five sources of funding for the shared service organisations are brought together. In the revised model USC, UL and ABD are financed with a fixed percentage of the direct funding of the university, thus solving problem 2. The boxes model also provides the opportunity to combine the current Strategic Budget and all the non-structural items with a strategic character. By doing so, it provides possibilities to fund initiatives that enhance cooperation between faculties or improve the quality of education and research. In the revised model, a pay-out-ratio is introduced that serves as an equilibrium of direct funding and the allocated resources.

In overview, the revised model has the following characteristics:

The budget for the medical education and research ("*Werkplaatsfunctie Geneeskunde*"), which is part of the government grant is transferred on a one-on-one basis (box 1). The same rule is applied for the resources for ISS and IHS (box 2). For the shared services organisations (USC, UL and ABD) it is decided that they each receive a fixed percentage of the "*eerste geldstroom*" (box 3). This makes the financing of the Shared Services organisations more straight forward (and solves problem 2). In the revised model all the non-structural funds with a strategic character are bundled in one box "Strategic Funds" (box 4). The alignment of the allocated financial resources with the EUR-strategy can be attained within this box. The funds that are allocated to the faculties is the Faculty Allocation Model (box 5). The allocation mechanism for this box is comparable with the current allocation mechanism, i.e. a flat fee plus a performance based budget. The last box consist of budgets that have a central (EUR wide) character but are not strategic. This box is called the direct purposes funds (box 6).

A graphical representation of the revised model and the allocation is shown in the next figure:

**Figure 1 Allocation in the boxes model**



Compared to the current situation:

- the transparency increases;
- the allocation of resources for the shared service organisations is straightforward;
- the Faculty Allocation Model only allocates block grants to the faculties and no longer specific grants;
- and finally the combination of all strategic resources in one box provides more possibilities for the Executive Board to financially facilitate the EUR strategy.

The calculations were made in the final stage of the revision process. These calculations were performed using the figures of budget 2017. When the revised model is adopted, it can be loaded with the actual figures for 2019.

The calculations started with a conversion of the current model to the new boxes model (a detailed description can be found in Annex 2). This conversion results in the amounts that are allocated in the current model to the organisational units as “block grants”. These amounts can be compared with the results of the calculations of the revised model. It gives insight in the reallocation effects. Since only revising the allocation model does not generate more money, the advantage of one unit is the disadvantage of another.

For the Faculty Allocation Model some variants are still under discussion. These are related to the parameter for “visitations”, with the flat fees and with the way the Faculty of Philosophy is treated in the model. Calculations have been done for these variants. Also a variant is calculated that combines the previous variants. That is, the visitation parameter is abolished, flat fees to faculties are given by a size and specific criteria and the Faculty of Philosophy will receive a flat fee plus variable amount. The variants are calculated for a multi-annual period of six years and the reallocation effects are shown graphically.

In the next step a sensitivity analysis is performed on these variants. Six scenarios that consider shocks to inflows of students, performances (diploma) and income (funding) are used to test the robustness of the revised allocation model. This sensitivity analysis is also performed for a period of six years. After this period, the full effect on bachelor diplomas is attained. The sensitivity analysis shows that the model is fairly robust and does not lead to unexpected effects.

Our recommendation is to combine three variants in the revised allocation model: to abolish the visitations parameter, to introduce new types of flat fees, and to include the Faculty of Philosophy in the FAM.



# 1 Introduction

The Erasmus University is revising the internal allocation model that allocates the direct government funding and the tuition fees (*“eerste geldstroom”*) to its faculties and organisational units.

In addition to the EUR allocation model's technique, the revision approach focused above all on the process and on ensuring that all stakeholders are involved. The support of those involved is essential for establishing an EUR allocation model that is broadly accepted. This means that everyone within the university community who has an interest in the EUR allocation model must be included in the revision process. An inclusive approach will ensure that consensus is reached regarding the goals to be achieved, the principles and starting points to be applied and relevant allocation criteria.

This document starts with describing the main questions and considerations for the revision of the allocation model. The process of the revision started with preparing the framework within which the EUR allocation model must be designed, the results of which are presented in chapter 2. Initial ideas regarding the new EUR allocation model were surveyed during a number of exploratory interviews with the Executive Board, the TOP support group, the Management of faculties and shared services organisations and the University Council. These bodies have been involved and heard in every step of the process.

The approach consisted of a number of steps in which we worked with the stakeholders to create consensus and support. The first step of the approach involved an analysis of the current allocation model of the EUR. The findings of this analysis are presented in chapter 3.

The second step involved drafting the bottlenecks of the current model and the aims that must be achieved with the new EUR allocation model explicit, and prioritizing these. This has been done by conducting interviews with all stakeholders. Chapter 4 includes the requirements and wishes of the stakeholders, and an analysis of the findings. The findings have been reported to the Executive Board, TOP support and the Board of Deans to complete this step.

The next step was to discuss these findings with the stakeholders in interactive work sessions. Based on shared evaluation criteria and associated weighting factors, the different variants for the possible new EUR allocation model have been drafted. The sensitivity analysis based on these variants evolved in the final discussions with the stakeholders. These sessions have resulted in a new EUR allocation model that is supported by all stakeholders.





## 2 General framework for the revision process

This chapter describes the general framework for the revision of the EUR allocation model. The current allocation model of Erasmus University dates back to 2004. The ambition to revise this model was expressed by the Executive Board of Erasmus University in 2015. The Board formulated a number of strategic considerations for the revision:

- Stimulating the cooperation between faculties. This cooperation includes the improvement of facilitating the mobility and exchange of students between faculties and further stimulation of joint research programs;
- Stimulating the quality of education and research;
- Reconsidering the financial position of the shared services;

In addition, the involvement of the University Council with respect to the main features of the allocation model is important. The University Council agreed with the Executive Board that the allocation model should support the strategy of the university, but also had other considerations. In the previous term of office, the University Council had a strong desire for a revision of the EUR allocation model. The University Council had concerns about the financial viability of small educational programs and the workload of employees in the faculties.

However, these considerations serve as guidelines. The key requirements for the revision had to be drafted by the key stakeholders within the EUR: the faculties, the University Council, and the shared services organisations. Therefore, in the process of the revision, all organisational units of the EUR had to be “on board” and involved in the key decisions that evolved in the new model.

Ecorys was engaged in January 2016 as a facilitator of this process, which was divided in a number of steps:

- Designing a framework in which the revision should take place;
- Formulate the bottlenecks in the current model and requirements for the revision;
- Designing a sample sheet that offers the EUR stakeholders basis for key decisions on the model;
- Developing variants of a revised allocation model that can be tested in the sensitivity analysis;
- Decision making by the EUR stakeholders on a revised allocation model.

At the start of the revision process, a number of group sessions and individual sessions with the EUR stakeholders were held in order to specify what should be part of the revision and what should be left out. This enabled us to design the framework in which the revision of the EUR allocation model should take place. Secondly a round of interviews was held to gather all the bottlenecks of the current allocation model and requirements for the new model. After that a sample sheet was presented to the EUR stakeholders that entailed the most important requirements of the stakeholders, and enabled them to make decisions on the features of the revised allocation model. The sensitivity analysis that followed showed the stakeholders the effects on the financial allocation of funds of different scenarios, such as an decrease of student influx and budget cuts by the central government. In the final phase, key decisions on the new model were made, based on this sensitivity analysis.



### 3 Current allocation model of the EUR

In this revision project, the complete sum of resources of €417 million is considered for the revision of the allocation model, which is the total of government grant and tuition fees. In Dutch, this is referred to as “*eerste geldstroom*”. Secondary and tertiary funding is not included in this revision. An overview of the allocation of the EUR “*eerste geldstroom*” is shown in Table 2, however we commence this chapter by focusing on the EUR income, for which Table 1 is shown below.

#### 3.1 EUR government resources and tuition fees

The central government grant that Erasmus University Rotterdam receives from the Ministry of Education, Culture and Science is allocated according to the main parameters of education and research, and performance-based funding. The 2017 total is €270,9 million, which includes the resources for ISS and IHS. Furthermore the EUR receives €84 million support for medical education and research (“*Werkplaatsfunctie Geneeskunde*”). In addition, the EUR receives tuition fees paid by the students.

**Table 1 EUR resources: government grant and tuition fees**

	* €1,000
<b>Central government grant</b>	
Model based	259,993
ISS	8,519
HIS	2,364
<b>Central government grant subtotal</b>	<b>270,875</b>
<b>Medical education and research (“<i>Werkplaatsfunctie Geneeskunde</i>”)</b>	<b>84,404</b>
<b>Other income</b>	
Tuition fees	59,471
Income from cooperative arrangements	1,686
<b>Other income subtotal</b>	<b>62,157</b>
<b>Direct funding total</b>	<b>417,436</b>

The model based part consists of an education part, a research part, and a performance part.

- The education component consists of enrolments and additional funding made available to a university by ministerial; and amounts to circa 60% of the EUR government funding.
- Funding for research is based on diplomas and doctorates obtained and a number of additional (fixed) funds. In comparison with other universities, the government funding made available to Erasmus University Rotterdam is to a relatively large extent based on the education component. In the Netherlands, amongst large universities, only the University of Tilburg is more dependent on education than the EUR.
- Performance-based funding by central government to universities is based on the assessment of the quality of education and 8.2% of the total national budget set aside for this purpose.

The contribution for medical education and research is calculated on the basis of both enrolments and diplomas obtained. In addition, it includes a fixed amount that is a percentage of the total

national budget for university hospitals. The fixed amount made available to Erasmus University Rotterdam in 2016 is equal to 13.24%.

Furthermore the university receives tuition fees that amount up to €59 million. Finally there is some additional income from cooperative arrangements, which is € 1,7 million. The direct funding therefore amounts to a total in excess of €417 million.

Sources of the remaining income of Erasmus University Rotterdam and its faculties include the secondary and tertiary funding. For the university as a whole, the direct funding accounts for circa 62% of the total income. The other income accounts for circa 37% of the total income. This other income is not included in the internal EUR allocation model.

### 3.2 Budget allocation and parameters in the current allocation model

Funds are allocated to the university's different organisational units by means of the internal EUR allocation model. Erasmus University Rotterdam makes a distinction between the faculties, shared services and the central staff. As shown in Table 1, the direct funding and tuition fees accounts for €417 million. Table 2 shows an abridged version of the EUR allocation model. The amount shown in the first row (Faculty Allocation Model <sup>1</sup>: €203,7 million) is divided into a number of items, as is the amount of the other model-based allocations (€ 15 million) and the specific allocations (a subtotal of € 112 million).

It is important to note that the term “*model*” is not fully applicable to the allocation of funds as shown in this table. Some allocations have historical paths that involve very limited “modelling”.

With the revision of the EUR allocation model, we consider the allocation of the complete “*eerste geldstroom*” of the €417 million.

**Table 2 EUR allocation model in 2017**

		€1,000
1	<b>Faculty Allocation Model (FAM)</b>	<b>203,652</b>
2	<b>Budget cuts</b>	<b>-12,363</b>
3	<b>Other model-based allocations</b>	<b>15,356</b>
4	<b>Institute of Social Studies</b>	<b>8,519</b>
5	<b>Institute for Housing and Urban Development Studies</b>	<b>2,364</b>
6	<b>Medical education and research (“<i>Werkplaatsfunctie Geneeskunde</i>”)</b>	<b>84,404</b>
7	<b>Specific allocations</b>	<b>111,964</b>
8	<b>TOTAL ALLOCATED</b>	<b>414.002</b>
9	<b>Change in university reserves</b>	<b>3,434</b>
10	<b>TOTAL</b>	<b>417.436</b>

<sup>1</sup> It can be confusing that within the EUR allocation model, there is the Performance Based Allocation Part, which in the EUR budget is sometimes referred to as “internal EUR allocation model”. More common in the EUR it is referred to as the “Faculty Allocation Model” (abridged as FAM), which is not fully appropriate. The current Performance based Allocation Part entails not only the allocation of funds towards the faculties, based on a flat fee combined with a performance based allocation, but also allocations to the USC and UL. As the term FAM is widely used in the EUR, we will follow this.

The current allocation of direct government funding and tuition fees has the following characteristics. Through the Faculty Allocation Model (FAM), the faculties receive a block grant based on parameters combined with a flat fee. In the current situation, part of the resources for the shared services organisations comes from this Faculty Allocation Model. A specification is outlined further in Table 3.

**Table 3 Specification of Faculty Allocation Model (FAM) in the current situation**

	€1,000	%
Allocation to the Faculties	175.789	86,3
Allocation to ABD and SSC's	20.421	10,0
Allocation to University Library	7.441	3,7
<b>Total Faculty Allocation Model</b>	<b>203,652</b>	<b>100,0</b>

As a result of this allocation, a general budget cut (row 2 in Table 2) for only the faculties is applied, which is not based on parameters. The budget cut is deducted from the amount available for each faculty. We did not find any explanation on the way this budget cut was calculated per faculty.

On top of the block grant faculties and shared services, organisations receive a number of specific grants. These are part of row 3 "Other model-based allocations", which is specified in Table 4.

**Table 4 Specification of Other Model-based Allocations**

	€1,000
Variation provision/travel expenses	1.506
m2/student influx/other parameters	6.025
Additional costs IT/AV	2.472
Central HRM policy funds (CMP)	1.462
Local HRM policy funds (DMP)	3.891
<b>Other model based allocations</b>	<b>15.356</b>

Furthermore, there are several funds that are directly allocated to specific organisational units. These items include the funding for the Institute for Social Studies (ISS) on row 4 and the Institute for Housing and Urban Development Studies (IHS), which is shown on row 5. Erasmus University Rotterdam receives a separate grant from the Department of Education, Culture and Science for ISS that is forwarded directly to the institute. ISS, however, makes use of the central shared services. The same regime applies to the IHS. Part of the "eerste geldstroom" is an amount of approximately € 84 million (on row 6) made available by the government to Erasmus University Medical Centre Rotterdam (Erasmus MC) for medical education and research ("Werkplaatsfunctie Geneeskunde"). Section 2.12. "Special provision regarding university hospitals" of the Higher Education and Research Act states that these funds must be transferred to the medical centres immediately.

With these allocations, about 75% of the available resources is allocated to the faculties and shared services organisations. The remaining 25% consists of a large number of transfers, sometimes based on algorithms, but in most cases just following historical paths. This involves an amount of € 112 million and is specified in Table 5.

**Table 5 Specification of Specific Allocations**

	€1,000
Measures concerning legal position	4,508
Strategic Budget	17,520
Student grant advance	11,000
Pre-funding EUC	4,568
Woudestein / Erasmus MC housing budget	37,748
Other items	36,620
<b>Specific Allocations</b>	<b>111,964</b>

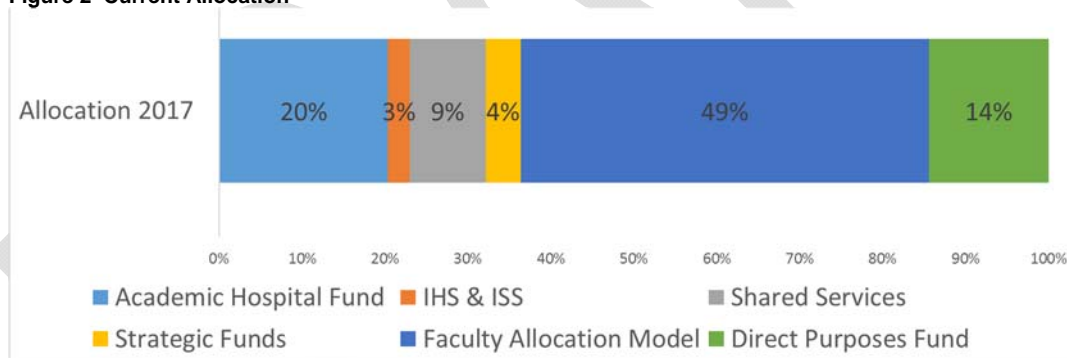
Some items can be expounded. A Strategic Budget is in place that is governed by the Executive Board. This budget is €17.520 and is fixed for a number of years. There is also a real estate fund that is managed by the shared services organisation. According to existing guidelines, the costs for campus are maximised to 13% (normative).

Lastly there is a proportionally large cluster of non-categorised “other costs”.

It is clear that these Specific Allocations (in Table 2 numbered as row 7), which includes around 20 very diverse sub-items, is not beneficial to transparency. At the same time, it is unclear why specific items, such as funds for employee benefits, are not part of the model-based basic funding of the faculties.

The current distribution results in an allocation that is presented in Figure 2.

**Figure 2 Current Allocation**



In the current model, the shared services are funded via five different channels: some of the funds come from “other costs”, some from the Other Shared Services and Real Estate budget, some from the Faculty Allocation Model, a part is funded by the faculties by “compulsory settlements” and a portion is invoiced to the faculties as additional services.

### 3.3 Faculty Allocation Model (FAM).

The FAM budget of €204 million in the current model is allocated to the different organisational units, such as the faculties, staff and Shared Services and the University Library (UL). As mentioned before the percentage for the faculties is 86,3, for staff and shared service organisations 10,0 and for the UL 3,7.

### 3.3.1 Allocation to the faculties

The EUR allocates the internal resources available to the faculties for education and research on the basis of a number of parameters. The education budgets are allocated on the basis of the number of first-year faculty students, transfer students and initial education diplomas (bachelor degree, master degree and medical doctor). The research budgets are allocated on the basis of the number of doctoral degrees obtained, assessments of visitations (good, very good/excellent qualifications) and the turnover of the second flow of funds. The allocation is calculated on the basis of the rate times the number of performances delivered.

The applicable rates are internal rates of the Erasmus University. The rates are not the same as the rates applicable for the government grant. Firstly: the parameter Influx used in the EUR is not used in the government grant. Instead the government grant uses subscriptions. Furthermore the government grant does not take overhead into account which is the case for the EUR-model.

The different rates for 2017 are shown in the table below.

**Table 6 Faculty rate for each parameter**

Rates		Woudestein faculties (excl. iBMG)	Er.MC	iBMG
Education	(Faculty) Student Influx	€ 3.949	€ 5.685	€ 5.876
	Bachelor	€ 9.212	€ 17.665	€ 13.637
	Master*	€ 4.607	€ 6.819	€ 6.819
	Medicine Master		€ 26.498	
	Medicine Degree		€ 36.592	
Research	Ph.D's	€ 61.710	€ 94.921	€ 95.757
	Bachelor	€ 2.067	€ 5.971	€ 3.090
	Master*	€ 4.133	€ 6.179	€ 6.179
	Medicine Master		€ 11.944	
	Medicine Degree		€ 17.915	
	2nd money stream	€ 450	€ 450	€ 450
	Assessment "good"	€ 11.666	€ 35.278	€ 36.504
	Assessment "very good" and "excellent"	€ 12.833	€ 38.806	€ 40.155
	* for Erasmus MC it is the rate for a Research Master			

When we depict these figures proportionally, the table is reflected as outlined below:

**Table 7 Faculty rate (proportionally) for each parameter**

Rates		Woudestein faculties (excl. iBMG)	Er.MC	iBMG
Education	(Faculty) Student Influx	1	1,4	1,5
	Bachelor	1	1,9	1,5
	Master*	1	1,5	1,5
	Medicine Master		n.a.	
	Medicine Degree		n.a.	
Research	Ph.D's	1	1,5	1,5
	Bachelor	1	2,9	1,5
	Master*	1	1,5	1,5
	Medicine Master		n.a.	
	Medicine Degree		n.a.	
	2nd money stream	1	1,0	1,0
	Assessment "good"	1	3,0	3,1
	Assessment "very good" and "excellent"	1	3,0	3,1

This table is based on the following general idea:

EUR Normal: All others	Factor 1
EUR High: Others Erasmus.MC; iBMG; EUC	Factor 1,5
1EUR Top: Medicine; Clinical technology	Factor 3

This is comparable with the factors in the government grant, where beta-faculties have a higher rate. From the start, iBMG is classified as almost comparable to Erasmus MC.

In the current model, circa 48% of the total budget for the faculties is allocated on the basis of education standards and circa 44% of this total is allocated on the basis of research standards. A few of the research standards include a relatively large education component. The distinction between education and research is therefore somewhat artificial.

It has to be mentioned that the allocation model only indicates which amounts are available to the faculties. The allocation model is not the same as the budget ("*begroting*"). The budget from the FAM is a block grant and faculties can decide how to spend their resources. Expenses may therefore ultimately differ from the model-based allocation of faculty income.

The budget for education largely comes from the number of first-year students and Bachelor's diplomas, both 14%, of the total education and research budget. Doctorates obtained and diploma-related research (by master's degree students) constitute the largest share, each 14% of the total resources, of the research component, followed by the assessments (7%) and turnover of the secondary funding (3%). This last item is only attributed to projects that are less than €500,000 in terms of scope. Furthermore, different faculties and the shared services organisations receive additional income in the context of, among other things, central resources for HR policy and travel expenses. As with the funding provided for "other expenses", these funds mainly benefit the shared services organisations, though funding provided in the context of this item is also used to fund grants, research chairs and events for the faculties.



### 3.3.2 *Allocation to the shared services organisations*

The shared services organisations have different sources of income. The amount they receive in accordance with the internal model-based allocation within the FAM is only a part of the budget available to them. This amount is € 12 million for the University Support Centre and € 3 million for the Education, Research and Student Affairs Shared Services. The ABD receives about € 5 million in the FAM and the UL around € 7 million.

In addition, the shared services organisations receive income as a result of compulsory settlements and customised agreements with the faculties. This income is received on the basis of services provided. The funding of the shared services organisations is therefore hybrid. They also receive amounts from the faculties through “compulsory settlements”. Such amounts may be received on the basis of, for example, contribution to ICT licenses, which can be deducted virtually immediately from the amounts allocated to the faculties.

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## 4 Key bottlenecks and solutions

In this chapter, the key bottlenecks of the current allocation are presented as expressed by the EUR stakeholders in different rounds of stakeholder consultation. At the start of the process, the Executive Board provided strategic considerations for the revision, such as stimulating cooperation between faculties, stimulating the quality of education and research, and reconsidering the financial position of the shared services. The University Council stressed the importance of including controlling elements in the new allocation model. These considerations were taken into account in the interviews and group sessions with the stakeholders.

The stakeholders, such as the faculties and the shared services organisations, were in the position of formulating the key bottlenecks of the current model and the requirements for the revised model. Their input weighted heavily on the preferred direction for the revised model.

In the following paragraphs, the key bottlenecks as experienced by the stakeholders are discussed, followed by the requirements the stakeholders had for the revision of the allocation model and the solutions that were chosen. These solutions are important building blocks for the revision, and in this paragraph they are coloured blue.

We start with transparency, which can be indicated as problem 1, followed by the financial position of the shared services, which can be indicated as problem 2. Next we discuss in paragraph 4.3 the option to create more alignment between the strategic considerations and the model. In paragraph 4.4 the Faculty Allocation Model is sketched. An important principle in financial management is to create an equilibrium between direct income and the total of allocated resources. This will be done with a pay-out-ratio, and we end this chapter with the topic of retrospectivity that was mentioned during the process but which did not lead to a change in the model.

In the following chapter, we will sketch the revised model, including some remaining issues for the FAM and the sensitivity analysis.

### 4.1 Transparency

The faculties indicated that the lack of clarity and transparency is a major problem in the current EUR allocation model. The aspect of transparency concerns both the large number of different parameters of the model and the complexity of the allocation formulas underlying these items. The transparency of the model is also undermined by a number of elements that were introduced in the past that no longer have an identifiable *raison d'être*. When one takes into account that the current model is in use since 2004, it is very likely that this is indeed the case. The university and faculties have changed significantly over time, whereas the EUR allocation model has remained virtually the same.

The need to resolve the issue of transparency is a top priority for all faculties. The complexity of financing and allocating the funds should be resolved in this revision. Many faculties mentioned that the deans and faculty directors should also be able to understand the allocation of funds towards their own faculty, even though they are not financial experts. This can be indicated as problem 1.

In order to increase the transparency of the allocation model, it was discussed to categorize the allocation in six main categories. All stakeholders agreed that it would be best to categorize the allocation model into new “boxes”. This way, the allocation model can be cleaned up reducing the category “other costs” and allocating the funds for shared services directly to these organisational units. By doing so problem 1 can be solved.

In order to improve the transparency, six main financing categories are introduced for the allocation of direct government funding and tuition fees:

- Academic hospital fund
- ISS & IHS budget
- The shared services budget (including real estate)
- The Strategic Funds
- The FAM
- Direct purposes fund

The revised EUR model allocates the resources via six main boxes. The funding for the medical education and research (“*Werkplaatsfunctie geneeskunde*”) and for ISS and IHS are directly forwarded without interception. The shared services budget will be a central budget that covers all shared overhead that is consumed by the faculties, that is equally accessible, that is proportional, and structural. The Strategic Funds will contain all funds that have strategic elements and are non-structural; it is decided upon on a central level. The FAM consists of a block grant for each faculty, based on parameters and rates similar to the present situation. The Direct Purposes Fund contains the earmarked transfers to the FGG, institutional tuition fees (non-EER) and budget posts distributed to the organisational units over the year, such as recalculations and guarantees. A specification of the categorization of the allocation has been drafted by the faculty controllers (see Annex 2: Mutation of the EUR budget).

## 4.2 Funding of the shared services

In addition, all faculties experience problems regarding the support of services. In spite of improvements as a result of the reorganisation currently taking place at the University Support Centre (USC), the faculties are in general dissatisfied about the financial position of the shared services. This largely has to do with the lack of transparency regarding which services are centrally funded and which services are invoiced to the faculties. The exact amount of these costs of the support services for the faculties is unclear, as is the overview of services that are included in the shared services. The internal invoicing that takes place between the services and the faculties and between the faculties themselves causes complexity. Part of the internal invoicing are the “compulsory settlement” cost items, which is an additional cause of complexity. The funds are initially allocated to the faculty, and then channelled to the shared services, on a compulsory basis.

The general feeling is that there is no control over the provision of services. The faculties wish to have more control over the shared services organisations. Services that are similar in nature, such as the schemes in place for international students, could be operated together at central level. This would be more efficient and lighten the workloads of faculties and scholars. A number of faculties also see disadvantages in the financial centralization of the shared services organisations. A few faculties prefer certain services, such as support for research, marketing and HR, to be provided at decentralized level because of their proximity to the primary process. The intransparency in funding can be indicated as problem 2.

The question that follows is how the shared services should be funded. The stakeholders have different preferences. The preference of one faculty is to have a percentage taken from the direct funding or the faculties, mainly because this would simplify the process. Other stakeholders prefer a payment for each service provided. This preference reflects the lack of trust that several stakeholders have in the quality of the services and a consequent desire on their part to exercise greater control over the services. The University Support Centre prefers a standard service, provided that transparency and discussion about quality/costs are possible.

The faculties argued that if more responsibilities are assigned to the central shared services organisations, those responsible for the services must have a change of mindset. They want services that are more demand-oriented. In this context, the shared services organisations must be given sufficient resources to provide the quality required. According to the University Support Centre, it is necessary to have a discussion with the faculties and the Executive Board about the quality and costs of the services to be provided and the budget that is made available for the purpose. Finally, because the USC does not really influence income, it wishes to be classified as a cost centre rather than as a profit centre.

In the current model, the shared services are funded via five different channels: some of the funds come from “other costs”, some from the real estate budget, some from the Faculty Allocation Model, a portion is funded by the faculties by “compulsory settlements” and another part is invoiced to the faculties as additional services. In the new model, it has been decided to allocate the majority of the funding directly to the shared services, which is capped by a maximum percentage of the total allocation sum. This means however a reduction of the funds of the old FAM, as in the current allocation model, funds that are channelled to the shared services via the FAM are re-allocated.

One of the main pre-conditions of the financing model of the shared services organisations is that a part of the consumption of the services is mandatory. Considering the type of services of the support organisations, this can amount up to 90% of the services and the costs attached to those services. In the proposed revision the shared service organisations are financed centrally. The maximum budget that will be allocated to these organisations is set on a fixed percentage of the sum of government grants and tuition fees (“*eerste geldstroom*”).

In order to generate the conditions that make a central financing of the shared services possible, a governance model should be put in place that offers the faculties the confidence that quality assurance and cost control are executed proficiently. An important aspect in that governance model is the principle that the cost-based budget of the shared services should not exceed that fixed percentage. A discussion should also take place concerning what the standard package will contain. These issues are discussed separately.

The central financing model will have decentral elements, which means that custom services can fully take place on the decentral level. In other words: each faculty will have a central standard package of support services, and has the option of ordering custom services on the decentral level.

- USC, ABD and the UL will each have their own separate financial position;
- The shared services organisations provide a standard basic package of support services;
- The funding of this standard basic package will take place on a central level;
- Additional custom support services can be arranged at a decentral level. Whether faculties are allowed to purchase some specific services from external service providers will be discussed separately;
- The cost based budget of the shared services should not exceed a set percentage of the EUR budget;

- A governance system will be put in place to conduct financial and quality assurance;
- Separately a decision will be made about the content of the compulsory basic package.

The introduction of one box for the central funding of the shared services solves problem 2.

## 4.3 Strategy

The process of revision was initiated by the Executive Board on the basis of three strategic considerations: The third consideration is almost the same as the above indicated problem 2. The other two were cooperation between faculties and stimulating the quality of education and research. The University Council also had a number of considerations regarding the relation between the allocation model and the strategy.

### 4.3.1. Cooperation between faculties

The possibility of stimulating the cooperation between faculties was discussed with the stakeholders. This was a consideration that was brought forward by the Executive Board at the start of the process, but is also very much supported by the University Council. Most of the faculties did not support encouraging cooperation and exchange between faculties by means of the EUR allocation model. A limited number of faculties linked this point to the problems of the current EUR allocation model by suggesting that resources can be allocated on the basis of the European Credit Transfer and Accumulation System (ECTS). The University Council also mentioned this option.

*It is decided that separately an inventory will be made of the experiences of those universities that use ECTS in their allocation model.*

Furthermore, there is an aversion to the competition for resources from the strategic scope. A considerable amount of time and money must be spent on competing for resources from other funding, such as secondary and tertiary funding. In general, this is not the case for the government funding. Some faculties expressed the feeling that more competition between faculties would not be beneficial to the university, although others see it as part of the scientific process. In general, there is no incentive to introduce or adjust a parameter in the model that stimulates cooperation between faculties.

### 4.3.2. Stimulating the quality

At the start of the revision, the Executive Board opted for the possibility of stimulating the quality of education and research by introducing new elements in the allocation model. This was also discussed in our interviews and group sessions with the stakeholders. Given Erasmus University Rotterdam's aim to become a leading university, the quality of education and research is extremely important. Nevertheless, the faculties indicated that they do not wish to see stronger qualitative components in the model, mainly due to of the difficulty of translating the quality of performances delivered into measurable variables. According to a majority of the interviewees, there is a link between quantity and quality. The reasoning in this regard is that when a faculty provides effective education and builds an excellent research reputation, more students will enrol in a study program. This means that at the moment there is no necessity to incorporate quality-elements in the model.

#### 4.3.2. Controlling elements

The University Council expressed the desire to introduce controlling elements in the revised allocation model. These elements can, for example, be parameters, that are connected to the strategy of the university. A majority of the stakeholders interviewed hold the position that the EUR allocation model should not be exercising administrative control. The EUR allocation model must above all make the regular primary processes possible and must provide enough scope to the faculties for them to shape the development of their respective fields of study as they see fit. Furthermore, most of the stakeholders interviewed, including the Executive Board, have the opinion that the Executive Board should not set priorities and exercise control through the EUR allocation model. This should be conducted on the basis of the covenants.

*After intensive discussions the University Council and the Executive Board concluded that the model should not hinder the current strategy and must be flexible enough to cope with future strategy changes.*

The strategic budget of the Executive Board was also introduced to enable a degree of control to be exercised. Although this strategic budget is not experienced as being excessive, some faculties would like to see it reduced. Providing additional resources to the faculties would make it possible for them to work towards achieving the strategic objectives described in the covenant in their own ways. The thinking in this regard is that a larger flexible component would enable the implementation of innovation and modernisation measures at faculty level. Currently, such implementation is considered to be less feasible because of limited resources.

#### 4.3.4. Introduction of a Strategic Funds box

An issue that was a topic of discussion is the allocation of strategic funds. All funds that have strategic elements, are non-structural and under the final responsibility of the Executive Board, are in the new allocation model categorised under Strategic Funds. This includes the current strategic budget of € 17,5 million that is strategically allocated by the Executive Board.

It has to be noted that the decision to start a new study programs or tracks is a strategic decision. If the costs of this new track cannot be covered with the normal funding additional financial support can be made available from the Strategic Funds.

The proposition to introduce an “innovation box” that allocates parts of the Strategic Funds to the faculties within a strategic mandate was not considered viable by the faculty directors. The main disadvantage was that funds that arrive at the faculties as earmarked funds, involve too much administrative burden.

*Bring together all budget lines that have strategic aspects. All allocations within the Strategic Funds should be temporary. The Strategic Funds should be available for faculties, shared services organisations<sup>2</sup> and the Executive Board. Don't introduce an innovation box for strategy.*

The volume of this box for Strategic Funds is fixed on a flat fee.

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<sup>2</sup> In addition to their category funding, based on the set percentage of the EUR budget, the support services should be able to apply for Strategic Funds. This can be the case for example to invest in large IT-innovation projects, that can not be funded through the annual support services budget.



## 4.4 Faculty Allocation Model

In the revised allocation model, the budget for medical education and research (“*Werkplaatsfunctie Geneeskunde*”), the budget for ISS and the budget for IHS are transferred on a one-on-one basis. Moreover, the budget for the shared services is a fixed percentage of government grant plus tuition fees (“*eerste geldstroom*”). The box for Strategic Funds is fixed on a flat fee, as well as the volume of Direct Purposes Fund. These boxes are deducted from the total government grant plus tuition fees. The amount that remains is available for the Faculty's allocation, and will be allocated to the faculties largely based on their performance, within the new (revised) Faculty Allocation Model (FAM).

Each faculty budget consists of a flat fee and a variable budget. The flat fee has base year 2017 and will not change throughout the years.

The variable budget is based on a number of performance indicators that are calculated as: number times the rate ( $Q \cdot P$ ). For the number ( $Q$ ), the up-to-date numbers of the financial year are applied. For rate ( $P$ ), the rate from the base year is used, which will be 2017.

After the categorisation of the EUR model, the faculty allocation model (FAM) only consists of block grants to the faculties. This means that this budget can be used fully for the primary process of education and research. There is one exception, that has to do with specific wishes of faculties for support services. If faculties want to have customised services on top of the basic package they have to pay for that out of their own budget.

New study programs of the faculties will be financed through FAM just as a normal study programs (i.e. based on parameters), but faculties can receive additional funding for these new study programs from the Strategic Funds (which is the same as the current situation).

One of the main topics among the stakeholders of the EUR was whether the FAM was part of the mandate of the revision of the allocation model. It was concluded by the faculty directors, as well as the research and educational directors of the faculties that no major changes are required for the FAM. The most important change for the FAM is that the shared service funding will take place on a central level rather than the current internal and compulsory invoicing, and the funds that are now allocated in the FAM for the shared services will therefore be reallocated. This means the FAM budget remains in place, with changes in the rates of the FAM.

Furthermore, a main “refreshment” that evolves from the revision of the allocation model is to update all base years in the budget to 2017. The base is currently set around 2001. To update this base year is also important for using the pay-out-ratio, that will be based on 2017.

There is one exception that relates to the parameter “visitations”. This parameter is only applied in the research part of the model and not in the education part. There can be some doubt on the comparability of the verdicts of the visitations committees across different fields of research. However, one of the ambitions of the EUR is to deliver excellent research. The parameter “visitations” based on the Standard Evaluation Protocol (SEP) might be maintained in an adapted form. In particular the elements scientific quality and social impact are relevant. In proportion to the number of FTE linked to research with the qualification excellent or very good a faculty gets a bonus. For research with the qualification good or lower, no bonus will be available. Before a final decision is made whether or not to maintain this parameter, two calculations of the revised FAM will be made in the calculation phase: one will be with the adapted “visitations” parameter, and one without this parameter.



Furthermore, in the calculations a variant is considered that involves the Faculty of Philosophy in the regular method of the FAM. This variant therefore includes a flat fee combined with a variable budget for this faculty. Initially this faculty was solely financed on a flat fee (the so called “maatpak”).

The principles of allocation via the FAM will not be changed, with three possible exceptions:

The parameter “visitation” might be changed from rewarding good and very good/excellent to rewarding only very good/excellent, or exclude them both .

Furthermore a variant is considered in which the different fixed amounts are replaced by only two fixed amounts: a lower amount for small faculties and a larger amount for the big faculties.

Finally a variant is designed in which the Faculty of Philosophy is funded like the other faculties (i.e. flat fee plus performance based variable budget) instead of the “maatpak”.

## 4.5 Pay-out-ratio

The pay-out-ratio (p.o.r.) can be considered as a “lock on the door” or “budget constraint”: the six allocated boxes should not exceed the direct government funding and tuition fees.<sup>3</sup> This is governed by a pay-out-ratio. Doing so, the EUR maintains control over its own budget.

The reason for installing a pay-out ratio is the fact that University’s income has different dynamics than the allocation of funds. Grosso modo the government grant (and the tuition fees) is affected by three relevant effects: first, the total amount of government grants to Dutch universities is adjusted to inflation. Secondly, both the government grant and the tuition fees differentiate according the number of students. Finally the government grant for each university fluctuates with the relative share of the university in the total of Netherlands. This means that the development of the income of a Dutch university does not necessarily (and most likely does not) equal to the rate of inflation.

For the pay-out-ratio, the fixed shares of funds should be fixed and are not indexed according to this formula. The “*Werkplaatsfunctie geneeskunde*”, the IHS and ISS funding, the Strategic Funds, the direct purposes budget, the shared services budget and the flat fees of the faculties should not be subject to the pay-out-ratio, as was the consensus with faculty controllers and directors.

The variable part of the budget (P\*Q) however will be adjusted according the income fluctuation of the government grant and tuition fees (“*eerste geldstroom*”). This is conducted by imposing the pay-out-ratio on the complete variable income of the faculty, after the P\*Q calculation.

This evolves in the following basic form of the formula:

$$p.o.r._t = \frac{\text{Government Grant and tuition fees year } t - \sum(\text{transferred plus fixed})}{\sum(\# \text{ students, employees, etc. in year } t) \times (\text{rate per student, employee, etc. 2017}) + \text{facul. flat fees.}}$$

As is shown in the formula, the pay-out-ratio takes the complete government grant plus tuition fees, minus the directly allocated funds (medical education and research (“*Werkplaatsfunctie Geneeskunde*”), ISS, IHS, Strategic Funds, Direct Purposes Fund and Shared Services), so that only the FAM remains. That is divided by the P\*Q calculation of the variable part of the faculty income plus the flat fee allocated to each faculties. Since the P remains the same as the base year 2017, the change is only due to variation in Q (i.e. student numbers). The ratio is applied to the complete budget of the faculties.

<sup>3</sup> The current model has a separate item which adds €3,4 million to university’s financial reserves. If the university wishes to sustain this item, it can easily be included in the formula.

The effect of the application of this formula is represented in a separate item in the Excel-model.

It should be noted that one cannot predict beforehand whether the p.o.r. will be larger or smaller than the inflation rate. The same is true for the relation between the yearly development of the total government grant plus tuition fees and the development of the FAM. The effect of this is that rates can be rather volatile. However, under normal circumstances the effect will be that the yearly increase of the FAM will be slightly higher than inflation rates. *Ergo*: faculties receive each year a gradually increasing share in the government grant plus tuition fees.

In order to install a “lock on the door” or budget constraint, the allocation model includes a pay-out-ratio that covers all variable funds of the EUR budget (within the government funding plus tuition fees).

## 4.6 Retrospectivity

Another problem experienced by some faculties with respect to the EUR allocation model is the delay in payment for performances that have been delivered. Budgets are allocated to faculties on the basis of parameters that have been averaged over several years. This approach is beneficial in the sense that it prevents sharp fluctuations of income. A number of faculties considers the period of three years to be suitable in terms of planning and the security that the period provides. The delay in the model means that the income becomes available for the faculty at a later stage while costs have already been incurred. This makes it more difficult for faculties to innovate and develop themselves and discourages them from doing so. An example that was given several times is the introduction of a new study programme. The costs incurred by the faculty at the beginning are recovered by the EUR only after a few years. Funding agreements are therefore made with the Executive Board at the start of new study programmes, to compensate the lack of funding. The funds for the new study programmes sometimes come from the Strategic Budget, but in other cases are directly allocated as part of the “Specific Allocations” (row 7 in Table 2).

A number of faculties indicated that they would like to shorten the multi-year periods of time on which the averages of the parameters are based, particularly in times of growth at a faculty. However, this is not a broad consensus, since there are a number of faculties that are content with the stability that the current level of stability offers.

The Executive Board argued that the delay in the current model should not be a problem to the faculties, because of the many reserves that they have built up.

## 5 Variants of the FAM

The discussion on bottlenecks of the current allocation model and solutions were not yet accompanied by any financial calculations: this way, the financial consequences of the arguments were not specifically calculated and presented. Doing so, the EUR stakeholders were able to have a discussion on the new EUR allocation model based on principles, rather than what is the best outcome for each of the organisational bodies.

However, for the final decision making towards a new allocation model, the financial consequences should be clear. In order to prepare the EUR stakeholders for this decision making, Ecorys presented an analysis of a number of variants that were based on the preferences of the stakeholders. The model variants contained optional characteristics for the new allocation model, that came forward from the requirements of the stakeholders.

When calculating the effects of a new model (the 2017 boxes model), we are mostly interested in the effects for the faculties. To obtain insight in these effects the starting point is a calculation of the outcome of the current model, according to the rules for transmission to the six categories and taking into account the internal transfers (obligatory transfers and voluntary structural transfers). This variant forms the “**base variant**”, in which the EUR budget has been re-allocated into six categories: the FAM, the Shared services budget, the Strategic Funds, the Academic Hospital funds, HIS/ISS, and the direct purposes fund. This reallocation has been done in cooperation with the faculty-controllers and is described in Annex 2.

With the financial calculation of the variants, and comparing the variants, it is important to keep in mind that the FAM is budget constraint. This is because from the total income out of government grant and tuition fees, the other categories (shared services budget, Strategic Funds, etc.) are deducted, which evolves in the budget that is dedicated to the FAM.

In our calculation for 2017, the FAM contains circa € 165 million. This is less than it used to be, since funds that were previously allocated to the FAM and then directed to the Shared services (internal invoicing, compulsory settlements) are now directly allocated to the shared services. This means that, in order to keep redistribution effects in our base variant as small as possible, the flat fees and rates have been adjusted optimally according the new situation. For all faculties, the effects of the revision in the base variant are smaller than 1% (minimisation of the redistribution effects was a precondition for the revision).

The funds of the FAM are allocated to the faculties divided in a fixed part and a variable part. All variants presented below follow this structure. Drafting the specifications of the variants, it was the aim to minimise the redistribution effects. This is done by adjusting the flat fee and the rates of the performance budget (P\*Q). However, since the variants involve structural changes, the redistribution effects will be higher than 1% in most cases.

The following variants can all be compared to this **base variant**.

On this base variant, we calculate three main variants:

### A redesign of the parameter "Visitations".

In the current model, visitations with the qualifications "good" and "very good/excellent" are rewarded with a low and a high rate. **Variant 2** implies that visitations with the qualification "good" are no longer rewarded. **Variant 3** implies the abolishment of both visitation parameters ("good" and "very good/excellent") and transferring the released budget to other parameters.

### New flat fees for the faculties.

In the base variant, all faculties have different flat fees, that have come from historical reasons. To diminish the redistribution effects of implementing the revision of the budget, all these flat fees have undergone a mutation. In other words, there is no rationale behind these flat fees anymore.

**Variant 4** introduces two types of flat fees: one for the smaller faculties ESHCC, FSW, IBMG and FW; and one for the larger faculties EMC, ESE, RSM and ESL. For this, we took the two average of the (previous) flat fees in these two clusters.

### Including the Philosophy faculty in the FAM

The faculty of Philosophy is in the current situation financed with a fixed amount ("*maatpak*"). In this **Variant 5** the faculty of Philosophy will be treated as the other faculties. It will thus receive a flat fee of 1€ million euro, plus a performance component as all the other faculties.

The following paragraph shows the effects of implementing a variant in the FAM, compared to the results achieved in the first part of the revision; we call this 'redistribution effects'. In other words, the redistribution effects are the differences (calculated as a percentage of the own faculty budget), between how much the faculty receives in the specific variant, and how much it should receive according to the revised budget classification. In each variant, the rates and the flat fee have been adapted by the mean of multiplier, as to minimize as possible the redistribution effects.

It is important to keep in mind that by simply changing the allocation model no extra money will be received by the university as a whole. This means that the gain of one faculty will be the loss of another faculty.

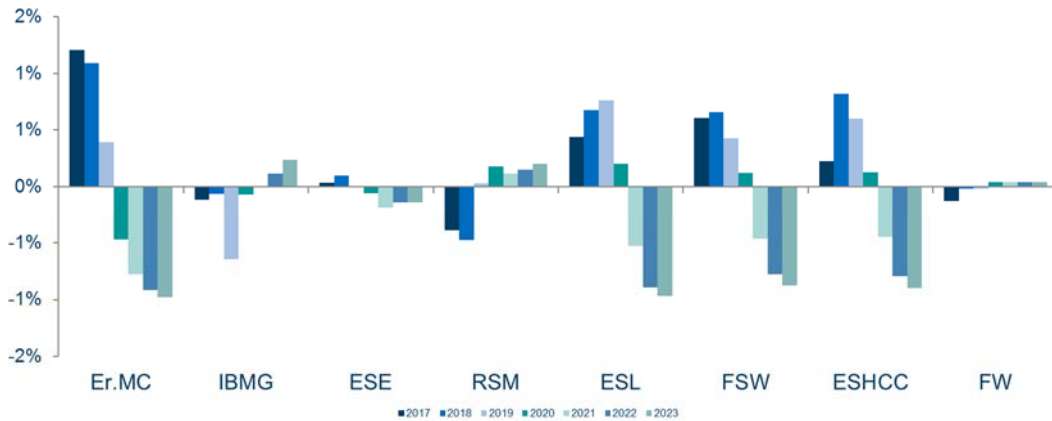
It is also important to underline that those redistribution effects refer to the comparison between the amount allocated as a result of the revision and the amount allocated by the new "adapted" FAM before the pay-out-ratio. Because the pay-out component is expected to be positive, all faculties will actually receive more funds than those allocated solely by the revision. That is, the "redistribution effects" figures should be only taken into account as a measure of the discrepancy between the "old" FAM and the new FAM proposed in the different variants, and not as a measure of the absolute loss/gain of fund for each faculty.

## 5.1 The results of the variants

### Variant 2: parameter visitations

The results of abolishing the parameter good visitations (Variant 2) is shown in Figure 3 The effects are limited for all the faculties; almost all years that are taken into account show a redistribution effects of less than 1%.

**Figure 3: Redistribution effects of abolishing the parameter "good visitations" (Variant 2)**

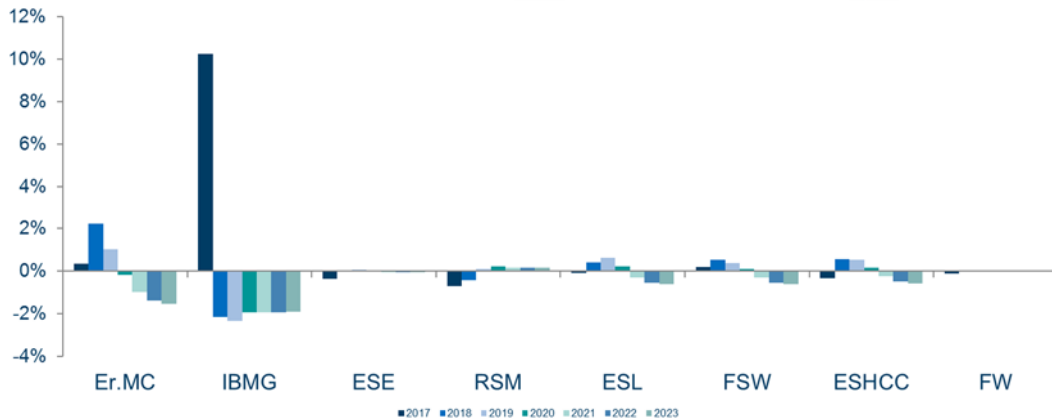


The percentages in this graph are percentages of each faculty's own budget. The redistribution effects are shown per faculty for the successive years 2017 up to 2023.

**Variant 3 Abolishment of the visitations parameter**

If one excludes all the visitation parameters (Variant 3), we obtain Figure 4.

**Figure 4 Redistribution effects of excluding all parameters for visitations (Variant 3)**



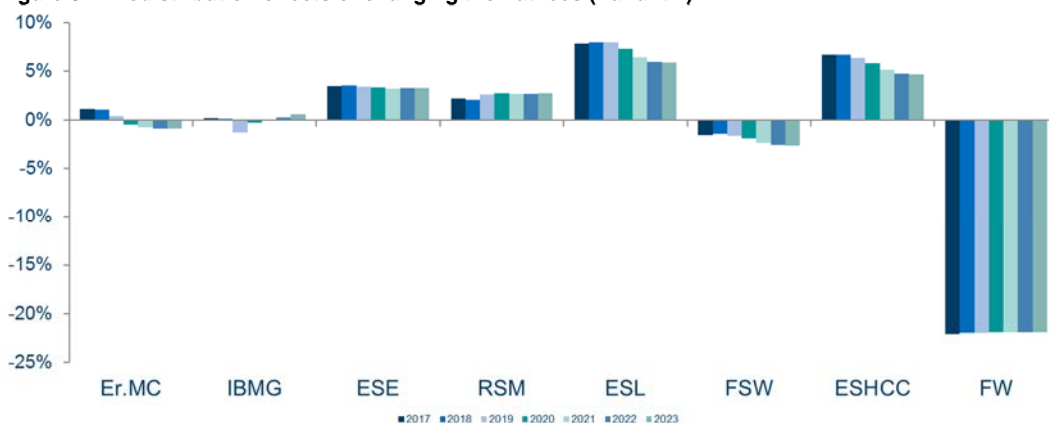
The percentages in this graph are percentages of each faculty's own budget. The redistribution effects are shown per faculty for the successive years 2017 up to 2023.

One remarkable aspect can be seen, which is a large effect for IBMG. This is because IBMG is only assessed with an "excellent" parameter. The rest of the faculties experiences relatively small redistribution effects with this variant

**Variant 4: flat fees for the faculties**

Variant 4 entails incorporating two types of flat fees in the FAM; one for larger faculties and one for smaller faculties. The effects of this are shown in Figure 5

**Figure 5 Redistribution effects of changing the flat fees (Variant 4)**



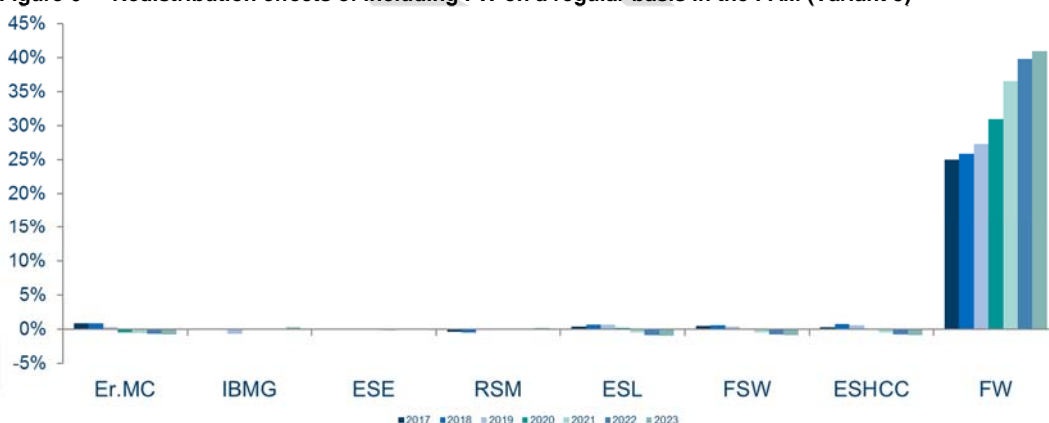
The percentages in this graph are percentages of each faculty’s own budget. The redistribution effects per faculty are shown for the successive years 2017 up to 2023.

Logically, the effect for FW is large, since they currently only receive a flat fee. The effects for the other faculties are also relatively large; up to 5% of their own budget.

**Variant 5: including Philosophy in the FAM**

Figure 6 shows the effect of including FW in the FAM for all faculties.

**Figure 6 Redistribution effects of including FW on a regular basis in the FAM (Variant 5)**



The percentages in this graph are percentages of each faculty’s own budget. The redistribution effects per faculty are shown for the successive years 2017 up to 2023.

As can be seen, FW gains significantly. Its flat fee is set at € 1million, on top of which they receive a performance based budget. The redistributive effects on other faculties is less than 1 percent for all faculties. This is because the budget of FW is relatively small compared to other faculties.

A general conclusion of the variants analysis is that changing the visitations parameter (variant 2 and 3) does not have a large impact on the faculties. Changing the flat fee into two types (variant 4) does have a significant impact on the faculties. For the faculties that now have a higher flat fee<sup>4</sup>, this effect is negative; for the faculties that now have a lower flat fee, this effect is positive. Including FW in the FAM (variant 5) mainly has a large impact on FW itself, a small effects on the rest of the faculties.

<sup>4</sup> Higher or lower than the average flat fee of the group to which the faculty is assigned. i.e. ERmc has a “lower” flat fee if its own flat fee is lower than the average flat fee of the large faculties.

## 5.2 Combination of variants

When we overlook the variants, there might be reason to think about combination of variants. This leads to a sixth variant. In this variant (Variant 6)

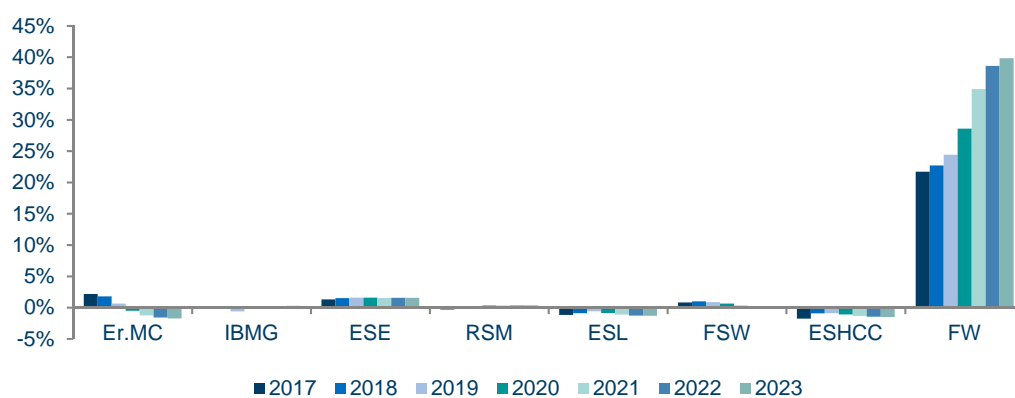
- all visitations are excluded
- Faculty of Philosophy has a performance component
- Flat fee are as follows:
  - Large faculties: Medicine, ESE, ESL, RSM have a common flat fee, that is equal to the average of their previous fix budget
  - Small faculties: iBMG, FSW, EESHCC have a common flat fee, that is equal to the average of their previous fix budget
  - Philosophy: Has €1 million flat fee

The calculation of this variant led to “unequal” and significant consequences. There was an exceptional large positive effect for the faculty of Philosophy and rather large negative effects for RSM and FSW. In order to minimise the redistribution effects, we made a calibration of the flat fees as follows:

- Medicine keeps its own flat fee, rounded to €7million;
- Two large faculties ESE & RSM have a flat fee of €3million;
- Two medium sized faculties ESL & FSW have a flat fee of €1.7 million;
- The small faculties iBMG and ESHCC will receive €0.8 million;
- And FW is kept on a flat fee of €1 million.<sup>5</sup>

With this calibration, we can depict the redistribution effects as shown in the next figure:

**Figure 7 Scenario 6 alternative, Redistribution effect**



The percentages in this graph are percentages of each faculty's own budget. Per faculty the redistribution effects are shown for the successive years 2017 up to 2023.

In order to see more detail for the faculties we present below the same figure, but exclude FW.

<sup>5</sup> The specification of the flat fees as distributed between education and research as well as the new rates per parameter for this variant can be found in Annex 4.

**Figure 8 Scenario 6 alternative, Redistribution effect (focus without FW)**



The percentages in this graph are percentages of each faculty's own budget. The redistribution effects per faculty are shown for the successive years 2017 up to 2023.

In the table below we present the redistribution effects per faculty in euros.

**Table 8 Redistribution effects (thousands) in Scenario 6 (difference between the results of the model and the results of the reallocation)**

	2017	2018	2019	2020	2021	2022	2023
Er.MC	1.417	1.171	411	-334	-799	-1.006	-1.096
IBMG	-16	-9	-53	-7	-3	5	13
ESE	289	345	365	364	346	342	337
RSM	-94	-73	66	90	74	64	65
ESL	-202	-152	-104	-160	-228	-269	-279
FSW	104	132	115	84	43	16	8
ESHCC	-110	-64	-64	-83	-105	-120	-126
FW	501	530	584	723	968	1.135	1.193

In this adapted variant the redistribution effects are rather limited and are in most years less than two percent. For that reason, we recommend this variant as preferable for the revised model.



## 6 Sensitivity analysis of the variants

In order to analyse how agile the five variants are to shocks we have conducted a sensitivity analysis. The sensitivity analysis entailed several scenarios in which future events are projected, such as an increase in the inflow of students, a decrease of the inflow of students, and an increase or decrease of government grant due to austerity. This sensitivity analysis allowed us to see how the income of the faculties is affected as a result of these shocks.

We have used six scenarios to test the robustness of the different variants:

- a. An increase of 10% of the inflow of freshmen in a large faculty
- b. a decrease of 10% of the inflow of freshmen in a large faculty
- c. An increase of 10% of the inflow of freshmen in a small faculty
- d. A decrease of % of the inflow of freshmen in a small faculty
- e. An increase of 10% of the government grant (as a result of a policy decision)
- f. A decrease of 10% of the government grant (as a budget cut)

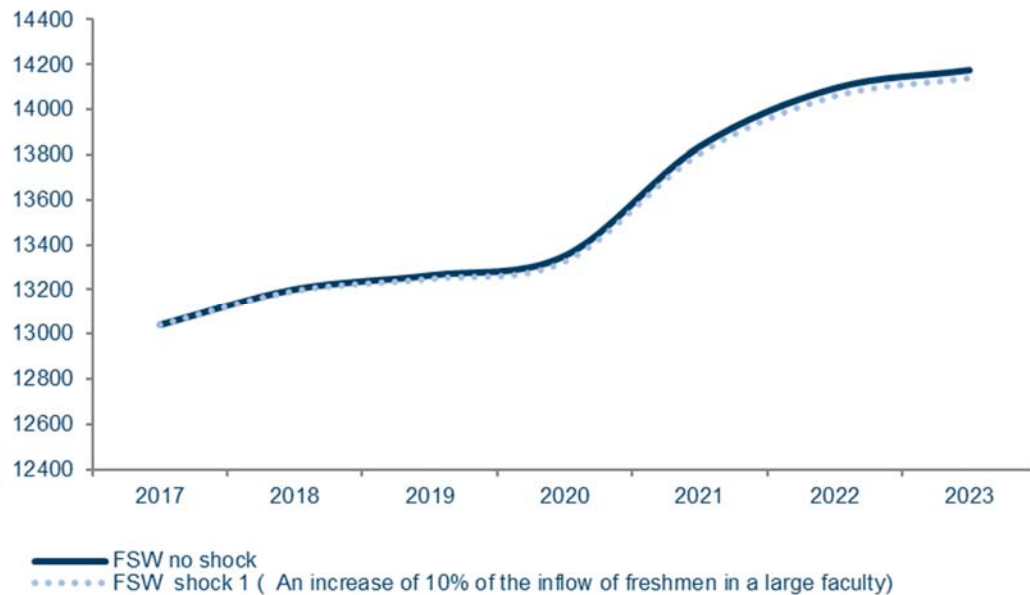
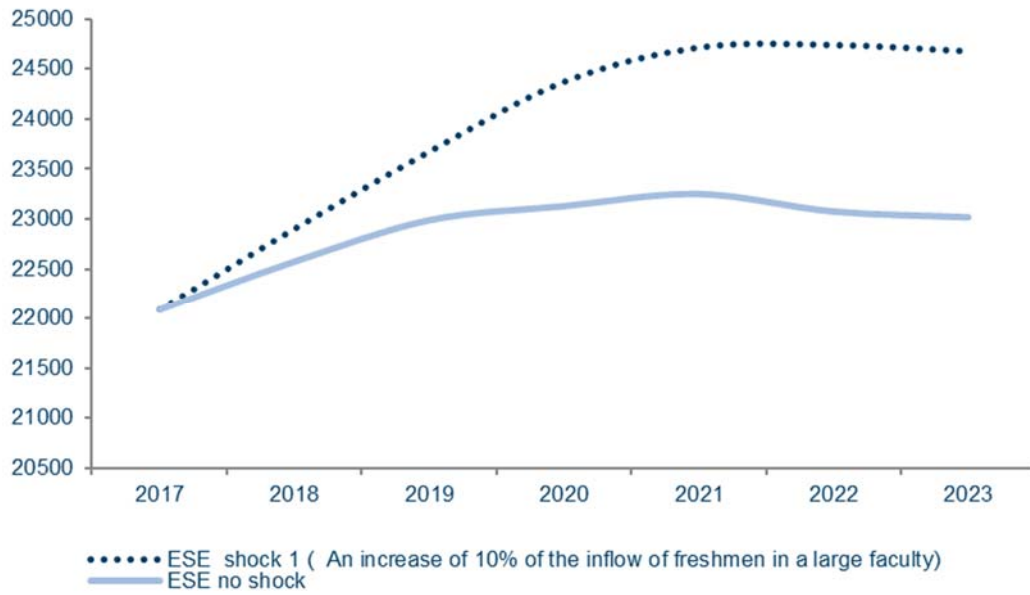
For example, 'scenario a' entails an increase of influx of 10%, for the period 2017-2023. This means the faculty has a 10% higher influx, every year, that influences the influx and diploma parameter in the FAM. This also affects the income of the EUR, since the amounts of enrolments will change because of this, as well as the number of diplomas within several years. Since in our revised model, the FAM is budget constrained to the income of the EUR, the majority of fluctuations of EUR income (government grant & tuition fees) will be processed in the FAM. This evolves from the calculation methodology as presented in the previous section.

(Note: scenarios a to d will also affect the government grant and tuition fees)

This sensitivity analysis will also be performed for a period of six years. After this period of six years, the full effect on bachelor diplomas is attained. Below, the effects of "scenario a" within the baseline scenario are shown for both ESE and FSW are shown.

In the graphs the total allocation of the faculty in the FAM is depicted (figures x € 1.000)

**Figure 9 The effects of an increase of 10% inflow of freshmen in a large faculty**

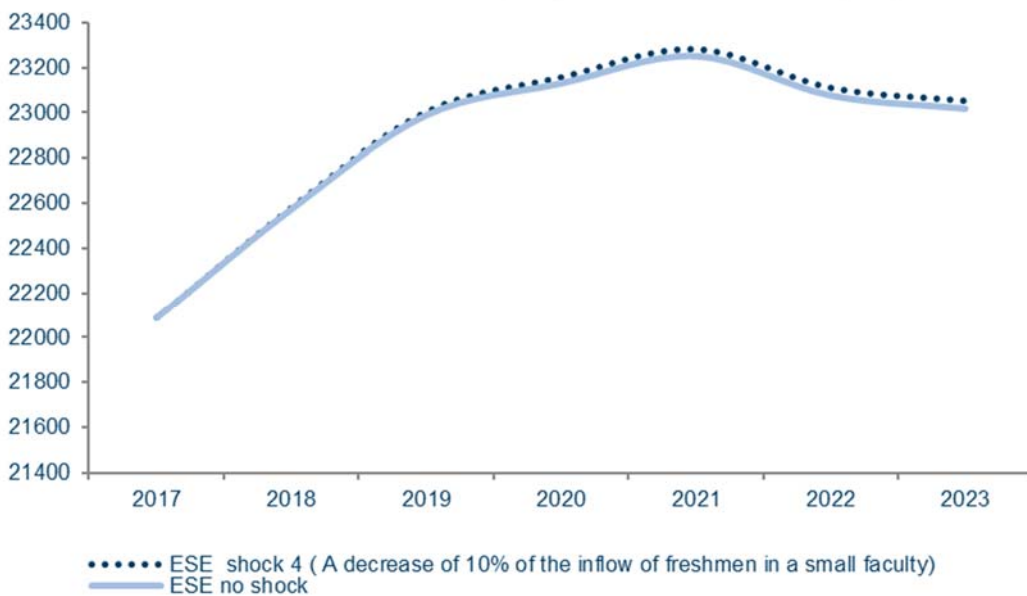
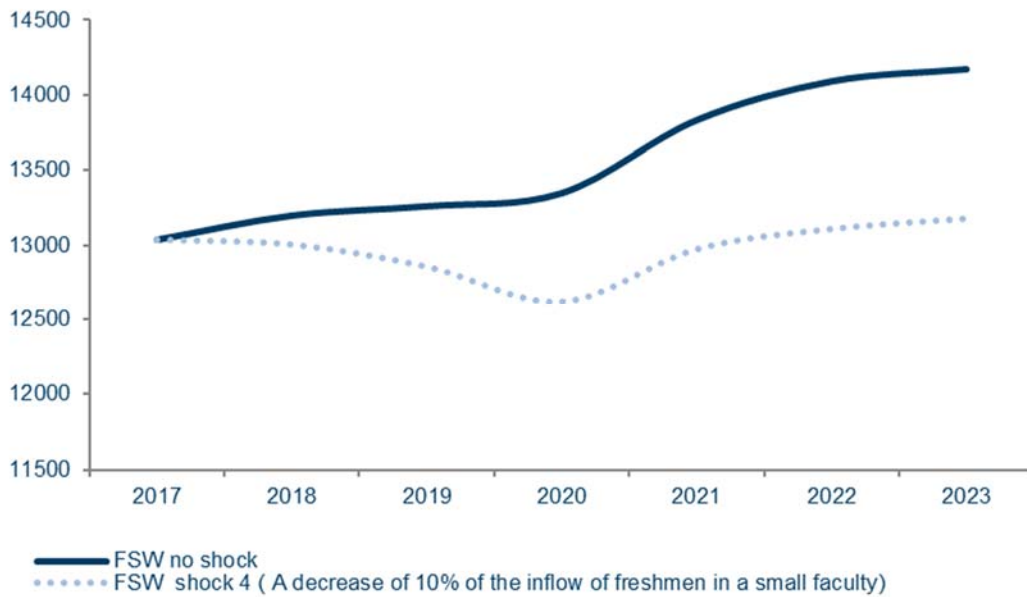


The effect of a 10% increase in influx for ESE is ranging from 1% in 2017 to 7% of increased income in 2023. This effect does not differ much between the different variants. For FSW, the increase of influx of students within ESE does not affect their income pattern visibly.

Below we outline the effects of 'scenario d' which is the decrease of influx of 10% in a small faculty. In this case, the results for FSW and ESE are shown.

In the graphs, the total allocation of the faculty in the FAM is depicted (figures x € 1.000)

**Figure 10 The effects of a decrease of 10% inflow of freshmen in a small faculty**



Again, the results are as expected: the income of FSW is affected by 1% in 2017, and increasing to 9% in 2021. For ESE, the effects of the lower influx in FSW is not notable; close to 0%.

Altogether, we have analysed the effects of the different shocks on the different variants, that has evolved in more than thirty cases (5 variants times 6 scenarios), of which we only show four figures in this section. The full overview of the sensitivity analysis is given in Appendix 6. The general conclusion of the sensitivity analysis is that the variants behave as can be expected, with a retrospective and stable character, as is the current allocation model. Following the sensitivity analysis, there is no reason to dismiss one of the variants as being unusable.



## 7 Recommendation on a revised allocation model

This chapter provides an overview of the revised EUR allocation model, based on the building blocks that were created during the process. For this, the two main requirements as brought forward by the EUR stakeholders are leading: increase the transparency of the EUR allocation model, and restructure the financial position of the shared services within the EUR.

For our recommendation, we use the categories as approved by the EUR stakeholders earlier in the process. In the following section, these categories are discussed consecutively.

### 7.1 Characteristics of the revised model

With the building blocks mentioned in the previous chapters, we can describe the revised model as follows:

#### Academic Hospital Fund

The funds for the academic hospital will be allocated to this faculty without intervention.

#### ISS/IHS

In addition, the funds for ISS and IHS will be allocated to these faculties without intervention.

#### Shared Services Fund

Following the preferences of the EUR stakeholders, the funds for the shared services will be allocated to these services directly, and maximised at a set percentage of the EUR income (government grant and tuition fees), including the costs of real estate. This improves the clarity of the financial position of the shared services.

In the revised model the percentages of the direct income for the shared services organisations are as follows:

**Table 9** Percentage per organisation

Organisation	Percentage
USC	13,1
UL	2,1
ABD	1,7

#### Strategic Funds

All funds that are not structural and entail strategic elements, should be allocated via the Strategic Funds under the supervision of the Executive Board. This creates more possibilities for enhancing the EUR strategy.

#### Direct purposes fund

The direct purposes fund is introduced for central costs that cannot be allocated elsewhere, since they have a central (EUR wide) character but are not strategic. For example, the legal obligation arrangements and the guarantees that are reserved in the budget are placed here. These will be allocated to the organisational bodies through the direct purposes fund.

## Pay-out-ratio

In order to maintain an equilibrium of direct funding and the total amount of allocated resources, a pay-out-ratio is installed.

## Faculty Allocation model

In the analysis, the variants have been compared to a baseline scenario. The results of the variant analysis show that the variants show robust patterns over the years. This means that all variants contain sufficient stability. This is also the case when looking at the sensitivity analysis of imposing shocks in student influx or decreases in EUR income: no large discrepancies are found.

This allows the EUR to make a policy decision without being limited by the technical capacity of the new allocation model. Since all stakeholders have expressed the strong desire of improving the transparency of the model, this opportunity can be taken by combining variant 3, 4 and 5, which leads to variant 6.

We recommend the adapted variant 6 with flat fees as follows:

- Medicine keeps its own flat fee, rounded to €7million;
- Two large faculties ESE & RSM have a flat fee of €3million;
- Two medium sized faculties ESL & FSW have a flat fee of €1.7 million;
- The small faculties iBMG and ESHCC will receive €0.8 million;
- And FW is kept on a flat fee of €1 million.

The redistribution effects are rather limited and are in most years less than two percent.

**We recommend variant 6 for the FAM. This implies that the visitation parameter will be abolished, that there will be limited types of flat fees, and that Philosophy will be included in the FAM.**

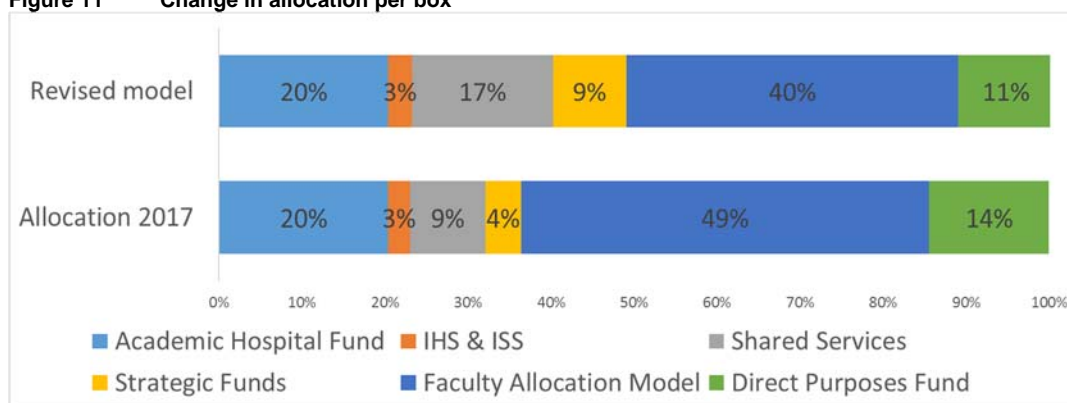
The visitation parameter has caused lack of transparency over the years, since almost all study programs received a 'good' assessment. We question the idea if these visitations should be part of an allocation model, or that quality assurance can be managed on a governance level. The latter could also be combined with financial incentives. This way, the FAM will be made more transparent.

The flat fees have been part of a historical patterns of financial decisions, and there are few people within the university that can explain how these flat fees have been established. Therefore we recommend to restructure the flat fees. In the recommended variant, the flat fees can serve as a limited basic funding.

Furthermore, the Faculty of Philosophy is currently only receiving a flat fee. We do not see any obstacles in allowing FW to enter the FAM and therefore be financed in a regular fashion.

This leads to the changes in the allocation as presented in Figure 11.

**Figure 11 Change in allocation per box**



At first glance, this graph might suggest the idea that faculties are confronted with a much lower budget compared to the current situation. However it should be noted that from the 49% in Figure 11, a substantial part is allocated via the FAM to the USC and UL. This immediately explains a shift of minus 6,7%, which in fact does not affect the faculties' resources. Also, in the current allocation a budget cut is imposed to the faculties. In the revised allocation, we have corrected these deductions. This also means a shift of minus 2,1%. On top of that, the faculties have to pay the compulsory internal payments. This causes a shift of minus 1,2%. On the other hand previous specific funding is now added to the FAM. This causes an increase of about 1,5%. The net effect of these mutations is (rounded) 9%. The budget that is available for education and research is therefore comparable to the current budget. A complete categorisation of the shifts of the old model to the six boxes is presented in Annex 2.

When the revised model is calculated in euros for the different organisational units it will result in the following table.

**Table 10 Institutional Breakdown, Variant 6**

2017	
Academic Hospital fund	84.404
IHS	2.364
ISS	9.444
USC (incl real estate)	54.550
ABD	6.932
UB	8.741
Strategic fund	38.176
FAM	165.547
Direct Purposes Fund	47.278
<b>TOTAL</b>	<b>417.436</b>

In the new allocation, the shared services are funded centrally and the funds allocated to the faculties are fully available for the faculty's primary process.

Finally, transparency of the model as a whole is increased and the financial position of the shared service organisations much simpler. Problems 1 and 2 are solved. With the introduction of a box "Strategic Funds", the possibilities for alignment of the financial resources with the EIR-strategy are widened.





## Annex 1 List of interviewees

Faculteit / dienst	Gesprekpartner(s)
<b>College van Bestuur</b>	drs. K.F.B. Baele prof.dr. H.A.P. Pols drs. B.J.H. Straatman drs. E. Hus
<b>Procesbegeleidingscommissie</b>	drs. Celia Taia Boneco RA drs. Katherine Rothwell mr.drs. Denise Ruijs-Verhoeff Lolkje Attema RA dr. Jeroen Timmermans dr. Mariette de Jong drs. Pieter Jellema drs. Eddy Hus
<b>CPC</b>	Ou Lin, MSc Wouter Platenburg, Msc Drs. Jan Willem Wisselink Drs. Nicole Clarijs
<b>Faculty controllers</b>	Drs. Bart Looije Drs. Ben Schotpoort Drs. Jacqueline van den Berkmortel Drs. Reino de Boer Drs. Ruud Bruggeman
<b>EMC</b>	prof.dr. Jaap Verweij prof.dr. Hans van Leeuwen
<b>ESL</b>	prof.mr. dr. Suzan Stoter Lolkje Attema RA dr. Rudolph Ladan
<b>FSW</b>	prof.dr. Henk van der Molen dr. Mariette de Jong Bart Looije
<b>ESHCC</b>	prof.dr. Dick Douwes Jacqueline Berkmortel drs. Annette van Ham ir. Gytha Coleman-Douma MBA prof.dr. Susanne Janssen prof.dr. Stijn Reijnders
<b>FW</b>	prof.dr. Jack Vromen
<b>USC</b>	drs. Kees Lansbergen drs. Geert Gerritse mr.drs. Denise Ruijs-Verhoeff
<b>UL</b>	dr. Matthijs van Otegem
<b>ISS</b>	prof.dr. Inge Hutter Mario Willemsen
<b>OOS</b>	drs. Lilian Jillissen

<b>ABD</b>	Ann O'Brien drs. Roeleke Vunderink drs. Ronald van den Bos
<b>ESE</b>	prof.dr. Philip Hans Franses prof.dr. Ivo Arnold dr. Margaretha Buurman
<b>iBMG</b>	prof.dr. Werner Brouwer Ruud Bruggeman, QC.
<b>RSM</b>	prof.dr. Steef van de Velde Anne van de Graaf, MSc. Wilfred Mijhardt, MSc. Frank van der Kruk
<b>UR</b>	prof.dr. Kees van Paridon dr. Clemens Festen Bas Louwman

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## Annex 2 Mutation of the EUR budget

### 1.1 Improving the transparency of the EUR allocation model

In the process of the revision of the EUR allocation model, most stakeholders pointed to the lack of transparency and consequently large room for improvement in this area. To explore the possibilities of improving this transparency, Ecorys has held a number of sessions with controllers of the faculties and the ABD. Together, we have come to the conclusion that several components of the EUR budget are unnecessarily complex, and that the transparency could benefit from shifting several components in the allocation model. Particularly the compulsory invoicing for shared services ought to be directly labelled “shared services budget” rather than flow via the faculty allocation model .

This involves not only a cosmetic alteration: reallocating expenses to different parties within the EUR (e.g. towards the faculty budget or shared service providers) means that former allocation formulas disappear. Budgets are now part of larger categories with less formulas. Guided by the principal of “assigning the expenses to where they are spent”, alterations that may seem large are in more logical places. The reasoning behind this is discussed in chapter 4 of the main document.

Firstly, the current budget is shown in table 8.

**Table 11** EUR budget 2017

	Total
Performance Based Allocation Model	203.625
- Of which earmarked for Pedagogy	943
- Of which earmarked for EUC	669
- Of which earmarked for Nanobiology	386
- Of which earmarked for Clinical Technology	384
Allocation wage adjustments	105
Variation provision/travel expenses	1.506
m2/student influx/other parameters	6.025
Additional costs IT/AV	2.472
Central HRM policy funds (CMP)	1.462
Local HRM policy funds (DMP)	3.891
<b>Subtotal model based allocations</b>	<b>219.114</b>
<b>Academic Hospital funds</b>	<b>84.404</b>
<b>Institute for Housing and Urban Development Studies</b>	<b>2.364</b>
<b>Institute of Social Studies</b>	<b>8.519</b>
Working condition funds	3.398
Legal obligations arrangements	4.508
Strategic Innovation Budget	17.520

	<b>Total</b>
Student Grant Advance	11.000
Research provision Psychology	679
Additional pre-funding EUC	4.568
Housing budget	22.978
Major maintenance + depreciation	14.770
Interest costs	480
Other costs EUR	20.094
Tuition fees (institutional, pto)	.11.500
Interest compensation (units)	64
<b>Subtotal specific allocations</b>	<b>111.559</b>
Awarded EUR Fellows (see table 3)	0
Decentral funding EUR Fellows	0
Central funding EUR Fellows	405
<b>Subtotal EUR-Fellows</b>	<b>405</b>
Design and printing costs	0
Budget Cuts	-12.363
<b>Subtotal Target</b>	<b>-12.363</b>
<b>Total allocated resources 2017</b>	<b>414.002</b>
3b ALLOCATIONS OTHER INCOME *	
Allocations other income	170.410
Allocations b.v.'s	51.019
Allocations affiliated organisations & associates	19.020
<b>Total Allocations other income</b>	<b>240.449</b>
<b>Total Exploitation Framework 2017</b>	<b>654.451</b>

Amounts\*€ 1.000

### *Shared services Budget (SSB)*

The Shared Services Funds cover shared support services and shared overhead, as service to the primary processes of the university. Also, all Real Estate funds are included in this budget, because these funds are narrowly connected to the shared services funds.

Therefore, the SSB consists of:

- a. ABD
- b. UL
- c. USC
- d. All real estate costs, including housing costs; these are managed by USC

## 1.2 Proposed alterations to the EUR budget

As already identified in the main document, the six categories are the following:

### *Faculty allocation model (FAM)*

The faculty allocation model entails the lumps sum allocation towards the faculties, based on specific parameters.

### *Academic hospital fund*

The budget for medical education and research (“*Werkplaatsfunctie Geneeskunde*”) is directly allocated to the EMC, as prescribed by law.

### *Strategic Funds of the Executive Board.*

The Strategic Funds cover all funds with strategic elements; i.e. non-structural funds towards faculties, shared services organisations etc. This also includes the investments such as pre-funding of bachelors or masters.

### *IHS & ISS*

The funds for IHS and ISS are directly allocated to these faculties, as is required by their independent position within the EUR.

### *Direct Purposes Fund*

Some costs are only distributed later on in the academic year. Also, the funds that are earmarked to Erasmus MC are provided to the faculty not via the FAM (as these not earmarked for research or education), but are clustered under “Central Funds”.

The proposition of the reconstruction of the budget is shown in table 9.. The table contains information on the size of the mutation and the destination of the categorical relocation. Based on multiple bilateral and plenary input sessions with the controllers, these mutations should contribute to improving the transparency of the allocation model for all stakeholders. Please note that the starting educations are partially already funded via FAM parameters but were not yet formally included.

**Table 12 EUR budget categorization is done in four consecutive parts:**

1. Revision central items EUR budget
2. EUR budget, "other costs" items
3. Allocation based model mutations in Faculty Allocation Model
4. Reallocation of compulsory invoicing

	Moved to FAM	Moved to SB	Moved to SSB	Moved to RE	Central budget	ISS
<b><u>PART 1 EUR budget general</u></b>						
Allocation wage adjustments						105
Pedagogy		943				
EUC		669				
Nanobiology	386					
Clinical Technology	384					
Variation provision/travel expenses	1.253		253			
M2/student influx/ other parameters		1.050	172		4.803	
*Additional costst IT/AV			2.472			
Central HRM policy funds (CMP)	1.147				315	
Local HRM policy funds (DMP)	3.329		455		107	
Working condition funds					3.398	
Legal obligations arrangements					4.508	
Student Grant Advance		11.001				
Research provision Psychology	679					
Additional pre-funding EUC		4.568				
*Housing budget				11.695	11.283	
*Major maintenance + depreciation				14.770		
Tuition fees (institutional, pto)					11.500	
Interest compensation (units)					64	
Central EUR fellows		405				
*Design and printing costs	-312		342			-30
Budget Cuts	-8.839		-3.524			
Interest costs					480	
<b>Total mutation central EUR budget items (part 1)</b>	<b>-361</b>	<b>17.024</b>	<b>170</b>	<b>26.465</b>	<b>36.458</b>	<b>75</b>
<b><u>PART 2 - other costs EUR (a 20.094)</u></b>						
<i>SPECIFIC TRANSFERS Erasmus MC</i>						
Numerus fixus Medicine					10.646	
Insurance premiums Erasmus MC					65	
Costs of replacing EURnet					92	
<i>CENTRAL OTHER COSTS EUR</i>						
<i>Students</i>						
Students Support Fund			1.363			
Excellence Scholarships		225				
Grant Erasmus Sport (incl. sport building)			918			
Student facility grants e.g. St Generale			275			

	Moved to FAM	Moved to SB	Moved to SSB	Moved to RE	Central budget	ISS
<u>Staff</u>						
Anti-smoking policy + ARBO + Erasmus Vitaal			96			
<u>General costs</u>						
Contributions (VSNU, Surf, OCLC, Surfnet Gigaport)			1.613			
Digital Learning Platform/Blackboard			332			
Additional central licence fees			170			
NVAO assessments costs			200			
Insurance premiums EUR- Woudestein			153			
Legal advice costs			200			
Board Compensations					685	
Student Influx Monitor & International Student Barometer			11			
<u>Events</u>						
Ceremonies e.g. Dies			200			
Management costs policy latitude			250			
Lustrum					100	
Mandeville, Science&Technology Week, Saint Nicolas, Talent Day			77			
Erasmus Gallery			24			
<u>Communication</u>						
Corporate Publications & Fraud and Plagiarism Campaign			51			
<u>Specific allocations</u>						
Women Studies & Chair Emancipation FSW		60				
FW dissertations		303				
ISS dissertations						850
PTO Business Administration research RSM EU					236	
Erasmus Honours Programma - NTV		185				
Nias-Fellows/Scholars at risk - NTV		61				
<u>Infrastructure</u>						
Costs of replacement EURnet			194			
Housing for international guests			300			
G-building costs work&studies spaces			159			
<b>Total mutation from "other costs" (part 2) (sum mutations equals 20.094)</b>		<b>834</b>	<b>6.586</b>	<b>-</b>	<b>11.824</b>	<b>850</b>
<b><u>PART 3 - Performance based allocation model</u></b>						
*Facility Services - SSCEFB			3.735			
*SSC Education & Student Affairs (SSCOOS)			3.309			
*ICT			3.809			
"To be allocated" support services			664			

	Moved to FAM	Moved to SB	Moved to SSB	Moved to RE	Central budget	ISS
*SSC HR & Finance			2.766			
***University Library			7.441			
*EUR Marketing & Communication			2.064			
**ABD			4.075			
<b>Total mutation from FAM (part 3)</b>	<b>-27.863</b>		<b>27.863</b>			
<b>Part 4 - Internal compulsory invoicing</b>						
Sum compulsory internal invoicing			3.680		891	
5% of remaining internal transactions***			541			
<b>Total mutation part 4</b>	<b>-5.112</b>		<b>5.112</b>			

Amounts \*€ 1.000

\*governance lays primarily with USC, \*\*governance lays primarily with ABD, \*\*\* governance lays primarily with UL, \*\*\*\* The 5% serves as an indicator of the basic provision of faculties on top of the compulsory internal invoicing. It equals 5% of the net transactions from faculties to support services – Ecorys is yet to learn the final estimate.

The mutation of table 9 leads to a new overview of the proposed EUR 2017 budget:

**Table 13**      **proposed EUR budget**

	Total
<b>Total Performance Based/Faculty Allocation Model</b>	167.935
Academic Hospital funds	84.404
Institute for Housing and Urban Development Studies	2.364
Institute of Social Studies	9.443
Strategic Budget (17.520 and other means with a strategic character)	35.378
Support Services Budget & Real Estate Budget	65.304
Central budget costs	49.173
- Of which earmarked for Erasmus MC	22.068
- Of which tuition fees	11.500
<b>Total allocated resources 2017</b>	<b>414.001</b>
3b ALLOCATIONS OTHER INCOME	
Allocations other income	170.410
Allocations b.v.'s	51.019
Allocations affiliated organisations & associates	19.020
<b>Total Allocations other income</b>	<b>240.449</b>

Amounts \*€ 1.000



## Annex 3 The effects of all variants.

To see the effects of the different variants we present below for each faculty in one figure the six variants. Each variant is indicated with a different colour. On the axis, the result of the allocation in the FAM for that faculty is indicated (numbers x € 1.000).

### 1 Base variant

old model adapted to the revision results, through multiplier for rates and specific multiplier for flat fee. This base variant comes close to the current allocation and can therefore serve as a valid point of reference for the effects.

### 2 Exclude "good" visitations

old model adapted to the revision results, through multiplier for rates and specific multiplier for flat fee & exclude good visitations.

### 3 Exclude all visitations

old model adapted to the revision results, through multiplier for rates and specific multiplier for flat fee & exclude all visitations and allocate the visitations budget via other parameters.

### 4 Two flat fees

old model adapted to the revision results, through multiplier for rates.

Large faculties: MC, RSM, ESE, ESL receive the average of the previous flat fee.

Small faculties: FW, FSW, ESHCC and IBMG receive the average of the previous flat fee.

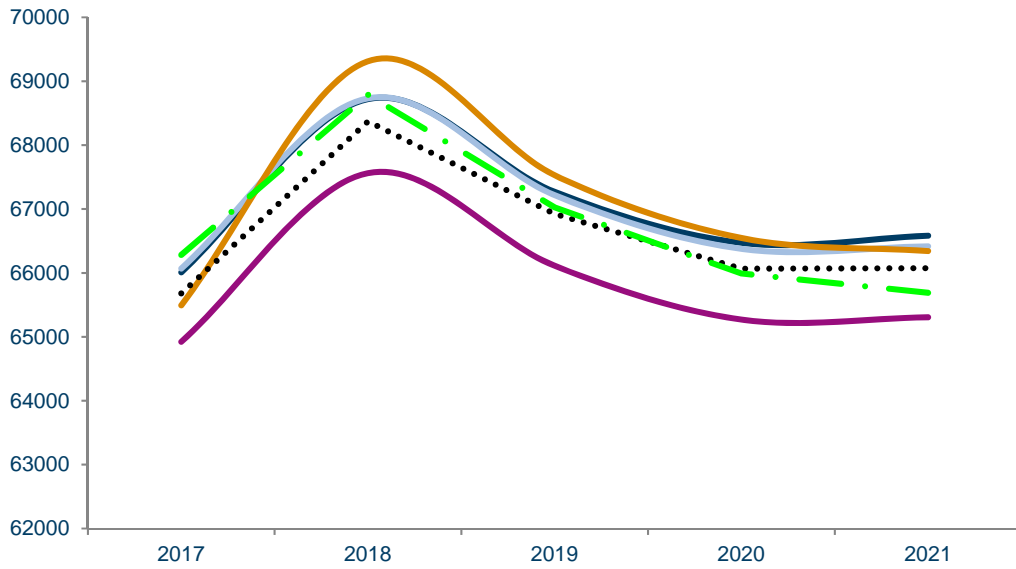
### 5 Philosophy treated as other faculties

old model adapted to the revision results, through multiplier for rates and specific multiplier for flat fee; faculty of Philosophy has a flat fee of € 1 million and a performance based budget.

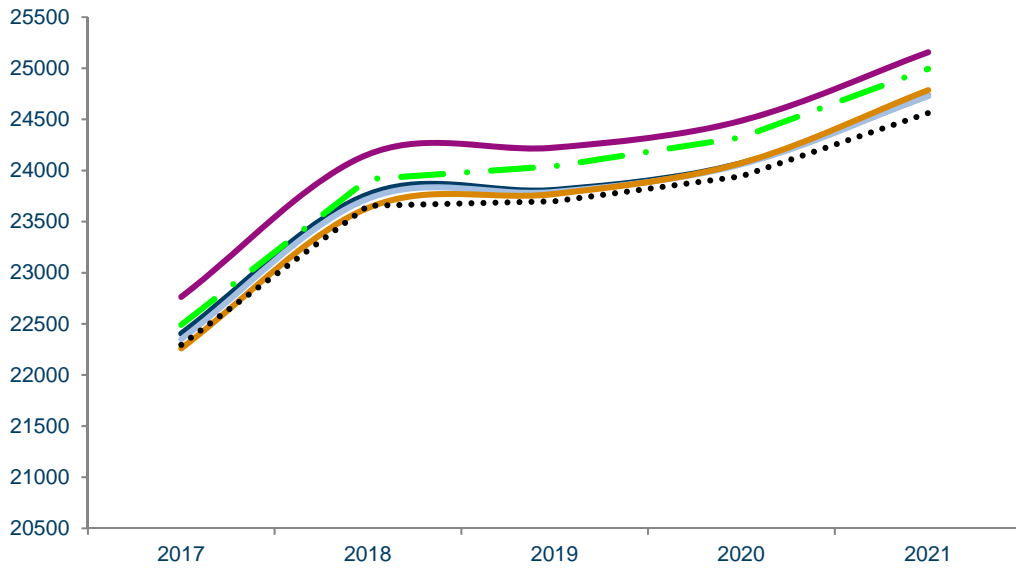
### 6 Combination of 3, 4 and 5.

old model adapted to the revision results, through multiplier for rates; and calibration of the flat fees to moderate the redistribution effects. The specification of the flat fees as distributed between education and research as well as the new rates per parameter for this variant can be found in Annex 4.

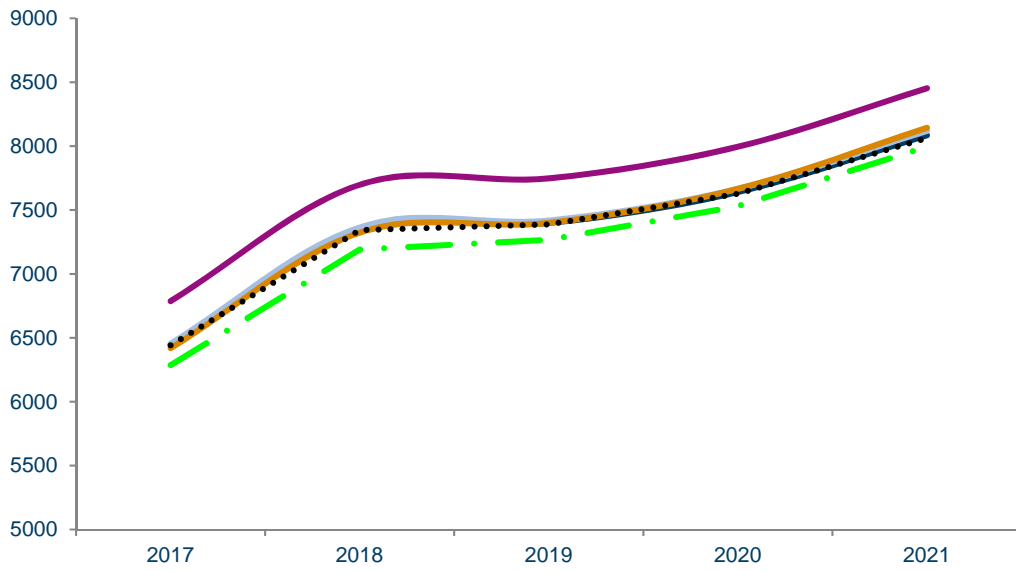
**Figure 12 The variants compared per faculty**



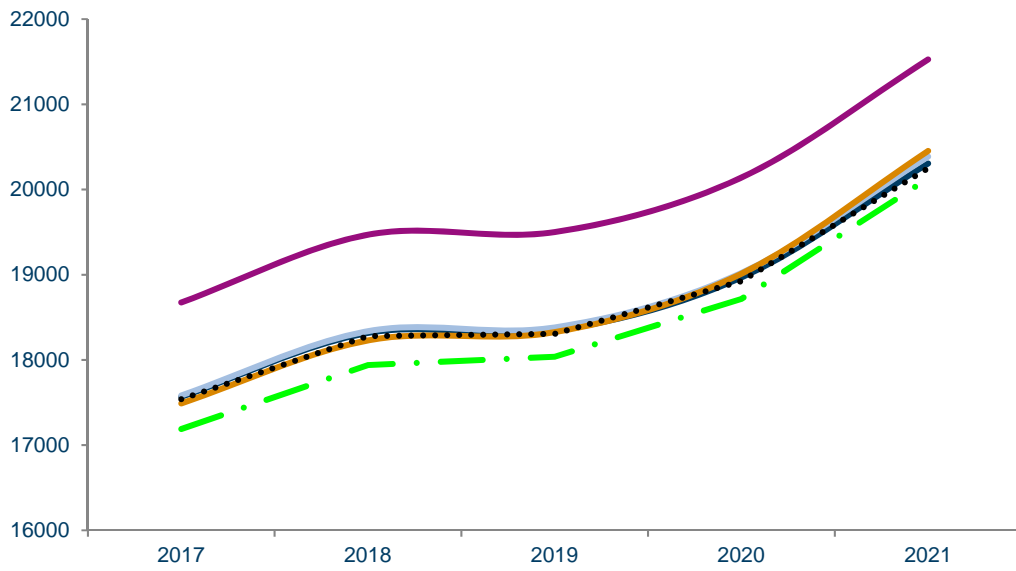
— Er.MC Variant 1    — Er.MC Variant 2    — Er.MC Variant 3  
— Er.MC Variant 4    ⋯ Er.MC Variant 5    -•- Er.MC Variant 6



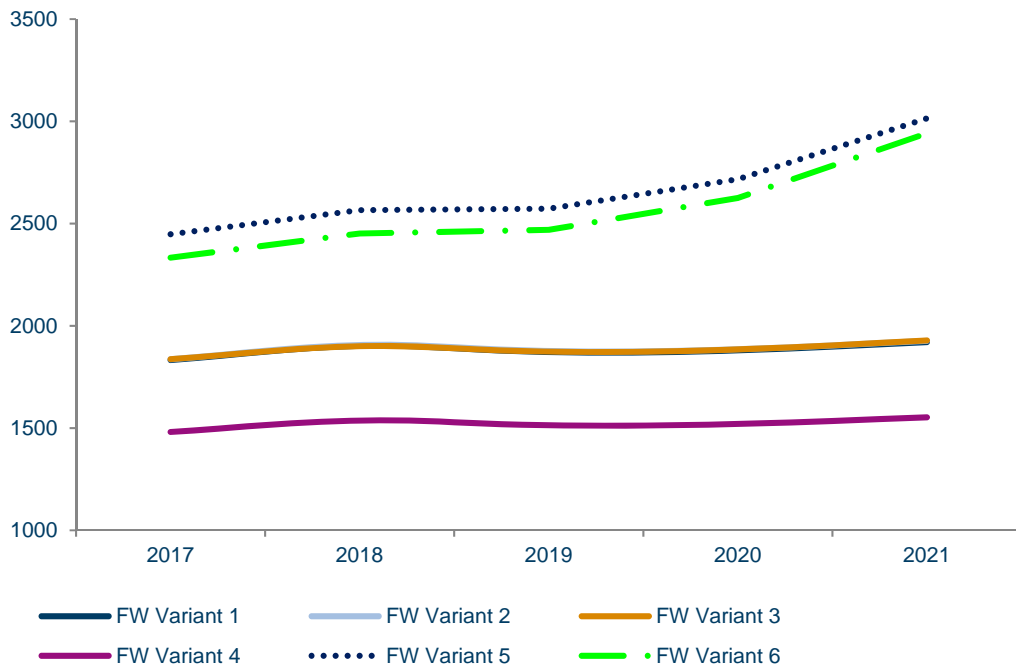
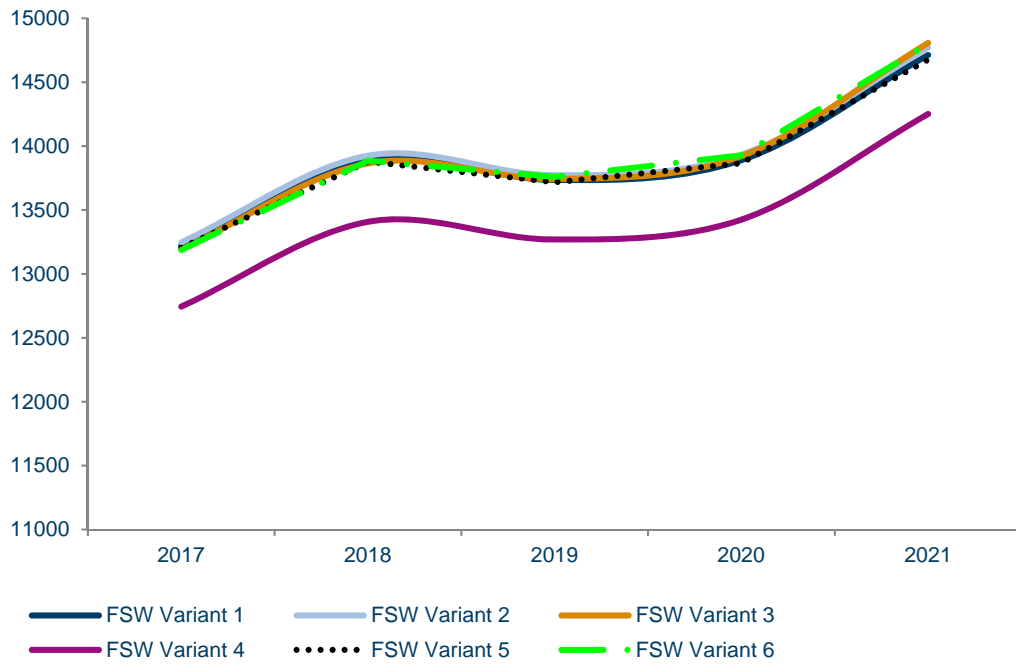
— ESE Variant 1    — ESE Variant 2    — ESE Variant 3  
— ESE Variant 4    ⋯ ESE Variant 5    -•- ESE Variant 6

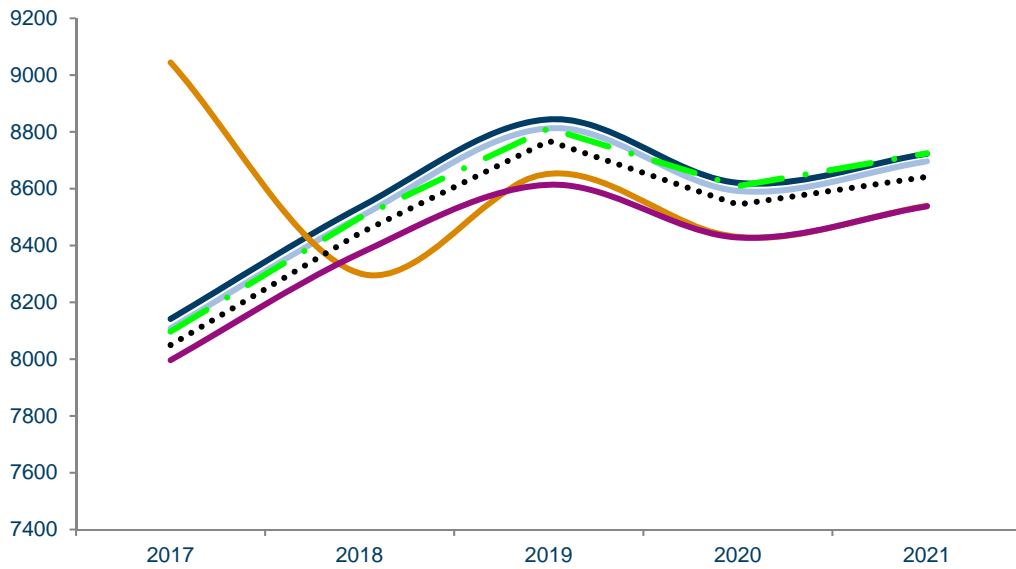


— ESHCC Variant 1    — ESHCC Variant 2    — ESHCC Variant 3  
 — ESHCC Variant 4    ••••• ESHCC Variant 5    - - - ESHCC Variant 6

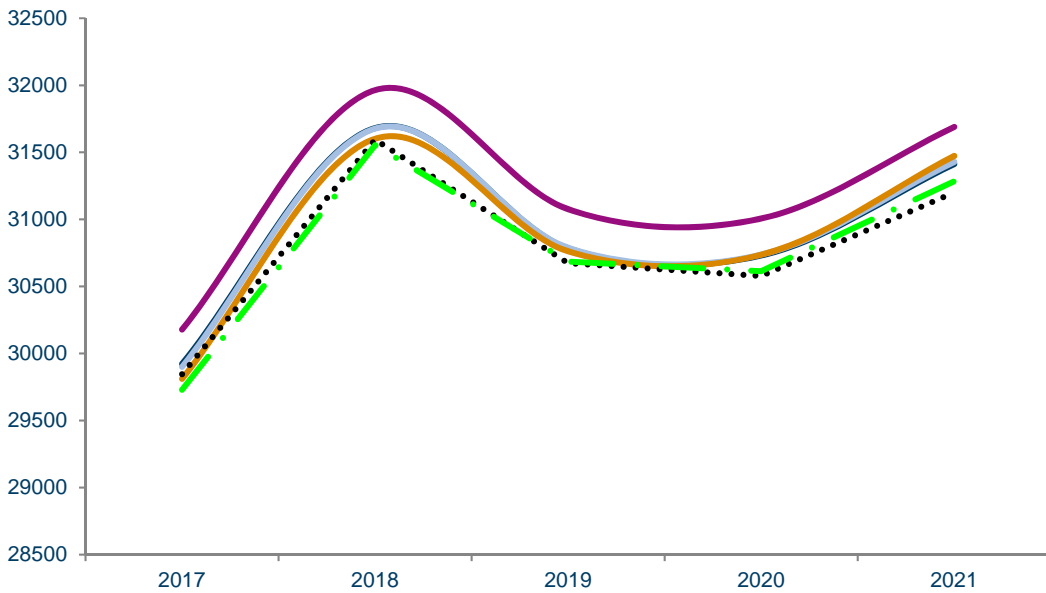


— ESL Variant 1    — ESL Variant 2    — ESL Variant 3  
 — ESL Variant 4    ••••• ESL Variant 5    - - - ESL Variant 6





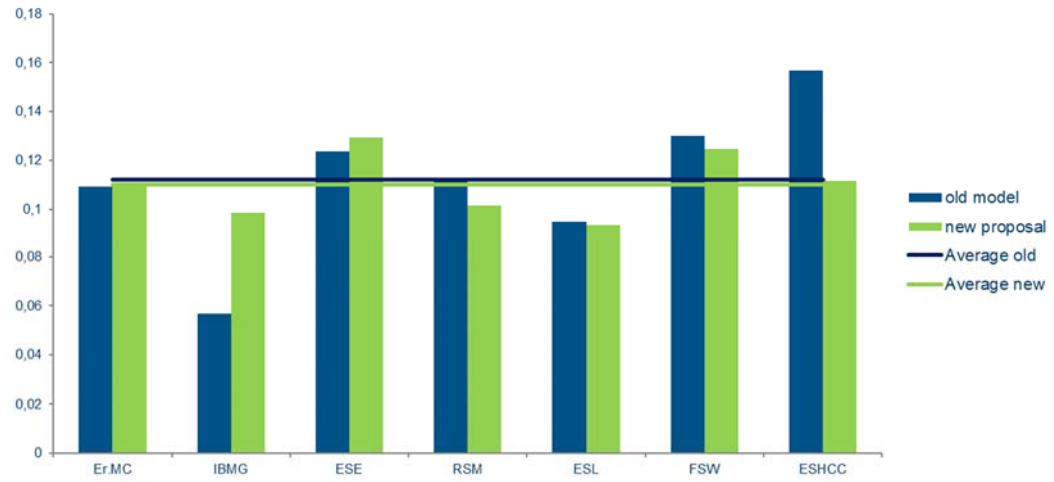
— IBMG Variant 1   
 — IBMG Variant 2   
 — IBMG Variant 3  
— IBMG Variant 4   
 ••••• IBMG Variant 5   
— IBMG Variant 6



— RSM Variant 1   
 — RSM Variant 2   
 — RSM Variant 3  
— RSM Variant 4   
••••• RSM Variant 5   
— RSM Variant 6

Finally we present an overview of the flat fees in this sixth variant. For the revised model we have calculated the relative share of the flat fee in the total allocated budget per faculty. This can be compared with the old model.

**Figure 13** Ratio fixed/total budget



DRAFT

## Annex 4 Flat fees and rates in the revised model (variant 6)

	Old education flat fee	New education flat fee
Er.MC	1653,37	1709,28
IBMG	187,52	285,03
ESE	1407,87	1341,23
RSM	1703,42	1349,41
ESL	783,69	703,64
FSW	974,22	827,25
ESHCC	696,47	425,73
FW	1460,02	699,05

	Old education flat fee	New research flat fee
Er.MC	5117,7	5290,7
IBMG	338,8	515,0
ESE	1741,2	1658,8
RSM	2083,6	1650,6
ESL	1109,7	996,4
FSW	1027,8	872,8
ESHCC	612,3	374,3
FW	628,6	300,95

New rates in variant 6			
	Woudestein faculties (excl. iBMG)	Er.MC	iBMG
(Faculty) Student Influx	€ 3.592	€ 6.904	€ 5.142
Bachelor	€ 8.380	€ 21.455	€ 11.935
Master*	€ 4.190	€ 8.282	€ 5.968
Medicine Master		€ 32.183	
Medicine Degree		€ 44.442	
Promotie	€ 56.135	€ 115.285	€ 83.803
<i>ba norm</i>	€ 2.898	€ 11.180	€ 4.168
<i>ma norm</i>	€ 5.795	€ 11.568	€ 8.336
<i>ma norm - GKD</i>		€ 22.361	
<i>Arts norm</i>		€ 33.541	
<i>corr. perc/tage dip oz</i>	€ 1	€ 1	€ 1
Bachelor	€ 1.880	€ 7.253	€ 2.704
Master*	€ 3.760	€ 7.505	€ 5.408
Medicine Master		€ 14.506	
Medicine Degree		€ 21.759	
2nd money stream	€ 409	€ 546	€ 394





To the Executive Board  
Room A2-07  
Woudestein

Date  
31.01.2018

Subject  
Allocationmodel

**Our reference**  
UR/MMB/38045

**Your reference**  
-

**Page**  
1/3

**Enclosure**  
-

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Dear members of the Executive Board,

First, the University Council wishes to express her gratitude towards Mr. Pieter Jellema and the consultants at Ecorys for their willingness for open discussions, their timeliness in providing information, and their engagement with our concerns during the meetings of the financial (FIN) committee.

The University Council also wishes to thank the Executive Board (EB) for listening to our concerns during our meeting on 22 January and hopes to continue to have an open discussion during the Consultation Meeting on 6 February. In preparation for this meeting, the University Council has had several extensive discussions internally and carefully weighed the circumstances in which the final proposal for the revised model is being presented.

Upon very careful consideration, we unanimously feel that several fundamental issues remain unresolved. Hence, we have reached to the conclusion that at this point, we cannot give our consent. We will elaborate on these issues below and hope to discuss these constructively on 6 February.

In addition to these issues, we remain convinced that an evaluation within two years after starting the model should be scheduled as well as future discussions on fundamental issues that go beyond the scope of this assignment, such as stimulating cooperation between faculties.

#### Goals of the revision of the allocation model

1. Several years ago, the re-design of the allocation model was requested by the University Council with the aim of lowering the focus on quantities in the model, increasing transparency and paying extra attention to the financial viability of the (relatively) small educational programs.

2. We observe the reduction in focus on quantities to be very slim: the number of students has remained as a parameter and the flat fee is dependent on student numbers as well.
3. The University Council has always problematized an allocation model that is premised on rewarding and stimulating growth in student numbers and diplomas. The new allocation model, with its distinction of three faculty types, whose flat fee is based on (historical) student numbers, in fact makes student growth an even more perverse incentive and foundational logic than it already was in the existing allocation model.
4. The transparency of the model is hampered, as the excel sheets and calculus are not available for the University Council nor for the faculties. It is not possible to get hold of the sensitivity of the outcome of the model due to changes in parameters.
5. The way in which the flat fees are determined for the various faculties is not made clear enough and remains insufficiently substantiated.
6. It has come to our attention that there are existing or future agreements beyond the model for various faculties. One could argue that a second level of flat fee is introduced. This does not help to increase transparency.
7. The validity of an allocation model that requires additional agreements is questionable.

#### Information asymmetry

8. A repeatedly named criterion of Ecorys' assignment is to produce a model that is widely supported. However, it is unclear whether all faculties have consented to the proposed model as documented in the report and whether agreements beyond this model have been made.
9. It was mentioned by the Executive Board that the negative outcome of the proposed model for ESL will be compensated by other faculties. Yet, the University Council remains uninformed on the agreements with respect to the amount of money which each faculty will contribute and the duration of these contributions.
10. We observe that we have not had full access to all relevant information and documentation pertaining to the allocation model. This is crucial to making a fully informed decision and we request to solve this apparent information asymmetry. We have not had access to:
  - a. Actual spread sheets and formulas produced and used;
  - b. Minutes of all formal meetings between EB and Board of Deans about the allocation model (even though we have asked for them);
  - c. Specification of which faculties do or do not agree to participate in the compensation for the Erasmus School of Law; and

- d. Contents of existing and future agreements between the Executive Board and the faculties beyond the new model.

Shared services center

11. The new approach in supply and demand (Products and Services Catalogue), pricing and quality for the USC has not yet been implemented. Instead, it is still in the process of development. At the moment, it remains unclear whether the proposed revision of the allocation model is flexible enough to cope with changing outcomes of the current process in the USC. We maintain that there is a substantial lack of clarity in terms of the costs of the cost centers.
12. The allocation model cannot be approved independently of the governance system and the composition of the compulsory basic package of the USC.

We look forward to a constructive discussion on 6 February with the aim of addressing these issues.

With kind regards,

On behalf of the University Council,



A.P. Barmentlo  
The chair of the  
University Council



M.M. Barendregt, MSc  
The clerk of the  
University Council

## ESE School Council's involvement with appointment new ESE Dean

(In accordance with the guideline containing a procedure for the selection and appointment of deans (see below))

phase	form	participants SC	goal	when	right
	Pre-meeting	All SC members present	Discuss input search profile & appoint members for the next phases	SC Meeting 147	
<b>4. Recruitment procedure for a new dean*</b>	Meeting with Executive Board	2/3 members SC	Communicate input SC for search profile	Beginning of April	
<b>7. Second round: recommendation Participation council advisory committee*</b>	Confidential interviews with two candidates (information can only be shared within this committee, not within and outside SC)	No more than 3 SC members: committee elects its chair, at least 1 student and 1 woman	To give confidential and substantiated recommendation to EUR Executive Board	TBA	Right to be consulted
<b>8. Third round: Executive Board, Faculty Council and appointment*</b>	Confidential meeting with Executive Board	Representatives or all SC members will be invited	To be heard regarding the 'to be appointed' candidate	TBA	Right to be heard

\* Phases/numbers congruent with highlighted text below

## **Final – version April 2017**

# **Resolution by the Executive Board of Erasmus University Rotterdam to adopt a policy guideline containing a procedure for the selection and appointment of deans and the ISS rector (procedure for the selection and appointment of deans)**

Adopted by the Executive Board during its meeting on 6 April 2017.

In view of Article 1:3 paragraph 4 of the General Administrative Law Act, Article 9.13 of the Higher Education and Research Act, and Articles 18 and 27A paragraphs 5 and 9 of the EUR Administration and Management Regulations, the Executive Board resolves as follows.

## **1. General provisions**

Deans are appointed by the Executive Board. The Executive Board observes this policy guideline when doing so. This policy guideline applies *mutatis mutandis* to the appointment of the rector at the International Institute for Social Studies (ISS). Due to the aforesaid Institute's particular formal status, the supplementary provisions of the Institute's regulations apply to the ISS rector in addition to this policy guideline<sup>1</sup>. With respect to the appointment of the dean at Erasmus MC's Faculty of Medicine and Health Sciences, a different procedure is maintained due to the specific context and legal frameworks.

In accordance with the powers as recorded in the EUR Administration and Management Regulations, this policy guideline constitutes a binding framework for potential existing or future provisions relating to the appointment of deans in other faculty regulations.

The selection procedure for deans takes the following key points into account:

- EUR's strategic objectives;
- The faculty's strategic objectives and the specific context in which the faculty is situated;
- Quality objectives relating to education, research and operational management, and objectives relating to the quality of professors at the faculty;
- EUR's diversity objectives.

## **2. Appointment term**

Deans are appointed for a four-year term. In principle, deans may be reappointed once for a second four-year term. The Executive Board will only resolve to reappoint a dean for a third term - either partial or otherwise - in extremely exceptional cases. In this respect, the procedure specified in paragraph 3 will be observed.

The Executive Board must discuss any such cases of potential reappointment with the dean at least one year in advance. Due to personal reasons, a dean's performance or the specific phase or context in which a faculty finds itself, the Executive Board may decide against reappointing the dean in question.

## **3. Reappointment procedure for a dean in office**

The Executive Board will organise a careful procedure in which the major stakeholders are involved in good time. After consultations with the relevant dean, the Executive Board will adopt its proposed resolution to reappoint the aforesaid dean. The President of the Executive Board and the rector will subsequently hold confidential interviews with the relevant Faculty Council to discuss this proposed resolution to reappoint the dean. After subjecting the Faculty Council's response to consideration,

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<sup>1</sup> In respect of the composition of the appointment advisory committee for the ISS rector, the members prescribed pursuant to Article 5 paragraph 3 of the ISS Institute Regulations will in any event be taken into consideration.



the Executive Board will then take a final decision (or not, as the case may be). The secretary of the Executive Board will coordinate the administrative handling in consultation with the HR Unit Manager.

#### **4. Recruitment procedure for a new dean**

The Executive Board is the principal party in this procedure. Its objective is to ensure a discreet, careful and transparent procedure in which the major stakeholders are involved.

The Executive Board may avail itself of the services of an external recruitment agency. The Executive Board will receive support from the HR Unit Manager at the USC and the secretary of the Executive Board. **The search profile will be composed on the basis of talks with the Executive Board, members of the faculty community, the Faculty Council or representatives thereof,** and the HR partner which regularly provides HR services to the faculty in question. The key points referred to in point 1, including the faculty's strategic objectives, will be explicitly addressed in the profile. When filling the vacancy, the objectives in EUR's diversity policy will be taken into consideration in respect of gender as well as all the other diversity criteria. Pursuant to this diversity policy, preference will be given to a female candidate in the event of equal suitability until a balanced proportion of male and female deans has been attained.

#### **5. Recruitment procedure**

The Executive Board will organise an open procedure. In special cases, the Executive Board may depart from this with due observance of the key points specified in point 1. In consultation with the faculty community, the Executive Board will decide on the details of the recruitment procedure within the frameworks specified and the staffing of committees. During these consultations, the faculty community may put forward suggestions for internal or external candidates to be passed on to the recruitment agency.

In the event of an open procedure, candidates will be recruited internally as well as externally. The text of the vacancy will be posted internally and externally at one and the same time. Internal and external candidates will be assessed on an equal footing against the criteria in the profile, and subsequently brought to the Executive Board's attention by means of a 'longlist'. Pursuant to EUR's diversity policy, this longlist will comprise an equal number of male and female candidates.

#### **6. First round: selection**

**Selection committee: Two members of the Executive Board + one dean from another faculty + two faculty directors to be specified at a later date, at least one of whom must be a professor**

The Executive Board will form the selection committee. An option exists for adding two more members from the faculty to the selection committee, if there is reason to do so. This will be determined during the further fleshing out of the procedure, in consultation with the faculty community. The selection committee will decide which of the candidates will be invited for the first selection round (shortlist). Internal and external candidates will have equal opportunities during this round. Pursuant to the diversity policy, preference will be given to a shortlist with at least 30% female candidates in the event of equal suitability. When compiling the shortlist, the key points specified in paragraph 1 will be taken into consideration.

The selection committee will hold interviews with the candidates on the shortlist on the basis of these candidates' Curriculum Vitae.

In principle, the selection committee will subsequently propose two candidates who qualify after the first round as being "suitable for appointment in principle" for an interview with the Appointment Advisory Committee and the Participation Council Advisory Committee.

Internal candidates who do not qualify as suitable for appointment will be notified personally of this by a member of the Executive Board, or by<sup>i</sup> the external agency where appropriate.

## 7. Second round: recommendation<sup>2</sup>

### Appointment Advisory Committee (AAC)

The members of this committee may not stand as candidates for the vacancy. One of the academic members of AAC I will chair the committee. AAC I must be composed in such a way as to ensure that at least one woman is a member of this committee, and preferably one other member is from a different cultural background.

Members will constitute a relevant representative body, preferably comprising four or five persons at management level at the relevant faculty, and the academic, teaching and support staff must be represented on the committee.

### Participation council advisory committee

This advisory committee will consist of a confidential committee (representative body) comprising no more than three persons from the Faculty Council at the relevant faculty, and must include at least one student member.

The members of this committee may not stand as candidates for the vacancy. Pursuant to EUR's diversity policy, this committee must be composed in such a way as to ensure that at least one woman is a member. The advisory committee will elect one of its number as president. This advisory committee will be asked to make recommendations on the proposed candidates. This right to be consulted exists in addition to the Faculty Council's statutory right to be heard prior to an appointment.

### In general regarding the advisory committees

The advisory committees will interview those candidates who qualify as suitable for appointment after the first selection round, and subsequently make a substantiated recommendation to the Executive Board.

The committee members are in a confidential position and may neither distribute nor use the information shared within the committee outside the limited circle of the Executive Board and the HR Unit Manager.

## 8. Third round: Executive Board, Faculty Council and appointment

The Executive Board will consider the recommendations made by the committees and will assess - in the same composition as the selection committee for the first round - whether a subsequent interview

with the candidate(s) is necessary. If, on the basis of the selection and recommendation rounds, the final candidates are deemed equally suitable, preference must be given to internal candidates over external candidates, with due observance of the diversity objective referred to in Article 4. The Executive Board will conduct a final interview with the ultimate candidate, and must immediately pronounce its *intention* to appoint the aforesaid candidate, on whom the Faculty Council will be heard in confidence. After hearing the Faculty Council on the candidate, the Executive Board will adopt a resolution to appoint the aforesaid candidate.

A member of the Executive Board must personally notify all the unsuccessful candidates of their rejection. In cases where the Executive Board has availed itself of the services of a recruitment agency, this agency must notify all unsuccessful external candidates of their rejection. The secretary of the Executive Board and the HR Unit Manager will complete all further administration relating to the appointment, in consultation with the Executive Board.

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<sup>2</sup> In respect of the composition of the appointment advisory committee for the ISS rector, the members prescribed pursuant to Article 5 paragraph 3 of the ISS Institute Regulations will in any event be taken into consideration.

## **9. Final provisions**

This policy guideline must be posted on the EUR website.

This policy guideline must be cited as 'procedure for the selection and appointment of deans'.

This policy guideline will enter into force with effect from the date of the relevant resolution adopted by the Executive Board.

This policy guideline will be evaluated after two years.

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