



Governance Model

University policy papers



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1. Governance

1.1. Governance structure

The UvA is a legal entity under public law pursuant to Section 1.8, second paragraph, in conjunction with Annex 1(a), of the Dutch Higher Education and Research Act (WHW). The UvA engages in the statutory duties of a university, including academic teaching and research, transferring knowledge to society and building awareness of social responsibility, and is a recognised institution for the general advancement of the public.

The UvA's administrative structure is laid down in the WHW and in its own Management and Administration Regulations¹ and also conforms to the Good Governance Code for Universities drawn up by the Association of Universities in the Netherlands.

The UvA is directed by an Executive Board comprised of four members: the president, the rector magnificus, a member who is the rector of the Amsterdam University of Applied Sciences and a vice-president. Consent for deviating from the statutory three-member board was granted by the Dutch Minister of Education, Culture and Science on 22 November 2002.

The Executive Board:²

- is charged with governance and control of the institution as a whole;
- approves the Strategic Plan and implements institutional strategy;
- determines the management structure;
- bears final responsibility for the quality of teaching and research, including applications for accreditation and for the assessment of new programmes, the discontinuation of programmes and the establishment of the maximum number of student places;
- determines tuition fees and student policy;

¹ The Management and Administration Regulations constitute the governance and management regulations referred to in Article 9.4 of the WHW.

² The summary mentions the most prominent duties resulting from the WHW, but is not intended to be exhaustive.

- is charged with operational management and approves the annual budget, annual statement of accounts, personnel policy and terms of employment;
- has an operative system of internal control and risk management;
- arranges legal protection for staff and students, and participation in decision-making.

Under the WHW, teaching and the pursuit of science and scholarship are organised within faculties, each headed by a dean appointed by the Executive Board. In the Central Executive Council, where consultations between the Executive Board and the deans take place, cooperation between the Executive Board and the deans has the highest priority. All major strategic and policy questions are discussed in the Executive Council prior to the Executive Board's decisions on such matters.

In numerous places, the WHW assigns duties and powers to the *institutional management*. This is to be understood as 'the Executive Board, unless otherwise specified'. The WHW identifies several key areas in which the dean acts as the institutional management. These areas include: preparing the Faculty Regulations and the Teaching and Examination Regulations, establishing the Examinations Boards and adopting research programmes. These tasks are assigned to the dean directly rather than being delegated by mandate, without prejudice to the authority of the Board to issue directives to the deans concerning the *organisation and coordination* (but not the content) of the respective powers.

Under a standard – and in some cases statutory – procedure, the Executive Board and the deans consult a number of bodies. These include, in the first place, the statutory staff and student representative advisory bodies (the Student and Works Councils at the faculty and central levels, as well as their joint meetings). These bodies not only have advisory rights on various topics, but in some instances also the right of approval.³ Other standard central advisory bodies are:

- the University Committee on Education, for teaching policy;
- the University Committee on Research, for research policy;
- the Senate, representing the University's 'academic conscience';

³ Articles 9.33 and 9.38 of the WHW. Matters to which the right of approval applies include the Management and Administration Regulations and the Faculty Regulations, as well as the regulations for various matters referred to in the Teaching and Examination Regulations. It also applies to the design of the quality assurance system.

- the Ethics Committee;
- the Academic Integrity Committee;
- the University Local Consultative Committee, for terms of employment issues;
- the Faculty Directors Consultations, for operational management.

The Executive Board works under the supervision of a Supervisory Board appointed by the Dutch Minister of Education, Culture and Science. The Supervisory Board appoints and dismisses members of the Executive Board, approves the Strategic Plan, annual budget and annual statement of accounts and monitors quality assurance procedures.⁴ The Supervisory Board has separate committees for: Remuneration and Appointments, Finances and Real Estate (simultaneously functioning as the Audit Committee), and Academic Quality. It meets about five times a year. Twice yearly the entire Supervisory Board or delegated members also meet with the Executive Board and the central representative advisory bodies.

1.2. Academic Medical Center

The Academic Medical Center (AMC-UvA) is the teaching hospital affiliated with the UvA. The AMC-UvA is a legal entity under public law pursuant to Section 1.13 of the Dutch Higher Education and Research Act (WHW) and publishes its own annual report.

The joint meeting of the Executive Boards of the UvA and AMC-UvA is a joint policy-making body as referred to in Section 9.20 of the WHW, bound by joint regulations laying down rules for the joint administration of medical teaching and research by the two institutions. Under an agreement between the UvA and AMC-UvA, the latter is designated as the joint executive body as referred to in Section 9.22 of the WHW. It further provides that the dean of the Faculty of Medicine is also the chair of the Board of AMC-UvA and determines the powers he or she is authorised to exercise on behalf of the Executive Board. As

⁴ For the duties of the Supervisory Board, see Article 9.8 of the WHW and Articles 3, 6 and 7 of the Management and Administration Regulations. The Supervisory Board is, however, anything but a Board of Commissioners. A Board of Commissioners is a body of the legal entity itself, which fills its own vacancies in a manner specified by statute. In contrast, the Supervisory Board of the UvA is appointed by the Minister.

dean, he or she also takes part in the University's Central Executive Council meetings. Academic medical teaching and research activities are periodically coordinated in a joint policy document (a covenant) agreed between the UvA and AMC-UvA.

The UvA's teaching regulations apply equally to the Faculty of Medicine, whose students also have the right to vote in the Central Student Council elections. All other aspects of AMC-UvA are governed by its own regulations and councils, in which patient care activities play a key role.

1.3.

Partner institutes with VU University

The Academic Centre for Dentistry in Amsterdam (ACTA) brings together the respective faculties of dentistry of the UvA and VU University Amsterdam. Teaching, research and patient care activities at both faculties are fully integrated and directed by a single dean. ACTA was established as an unincorporated joint venture of which the UvA bears 55% of the costs and VU University Amsterdam 45%, in line with the statutory student enrolment quotas imposed for each institution.

The joint liberal arts programme of the UvA and VU University Amsterdam has been placed within Amsterdam University College (AUC), which is directed by a single dean. AUC has also been established as an unincorporated joint venture of which the UvA and VU University Amsterdam each bear 50% of the costs – again, in line with statutory entry quotas.

1.4.

Intensive collaboration with the Amsterdam University of Applied Sciences

Since 1998, the UvA and the Amsterdam University of Applied Sciences (AUAS/HvA) have been working closely together to offer students in Amsterdam a targeted and differentiated range of higher education degree programmes. Since the autumn of 2003, the two institutions have also had a single Executive Board, and for this reason have been allowed to deviate from the Dutch Higher Education and Research Act and appoint the rector of the AUAS/HvA as an additional fourth Board member. The Supervisory Boards

and their respective committees have not been merged, but are chaired by the same person and attend each other's meetings. Support staff at both institutions also work together where this serves the interests of efficiency.

1.5. Group structure

The UvA clusters its non-statutory activities and spin-offs in fields like applied research within group companies. This group structure is directed mainly through the intermediary of the University's wholly owned subsidiary, UvA Holding BV, of which Amsterdam University Press and the two employment agencies affiliated with the UvA are also part. Aside from UvA Holding, the group structure⁵ consists of holdings in ACTA Holding BV and AMC Medical Research BV, as well as in:

- the Amsterdam Foundation for Academic Computing (Stichting Academisch Rekencentrum Amsterdam, SARA)⁶
- SEO Economic Research
- the T.M.C. Asser Institute in The Hague, in the field of international law
- the Duitsland Instituut Amsterdam
- the Netherlands Institute in Athens
- the Netherlands Institute in St Petersburg (a Russian legal entity)
- the CREA Foundation
- the University Sports Centre (USC) and the Sportexploitatie maatschappij UvA CV (sports operating company)
- the Amsterdam University Alumni Association (AUV), whose membership is open primarily to alumni
- the Amsterdam University Fund (AUF), which manages 60 or so funds obtained from bequests or other gifts, designated for purposes related to the UvA
- the Amsterdam Academic Club (AAC)
- several smaller management entities.

The Annual Report contains a diagram of the group structure showing which

⁵ See also the group structure chart in the Annual Report.

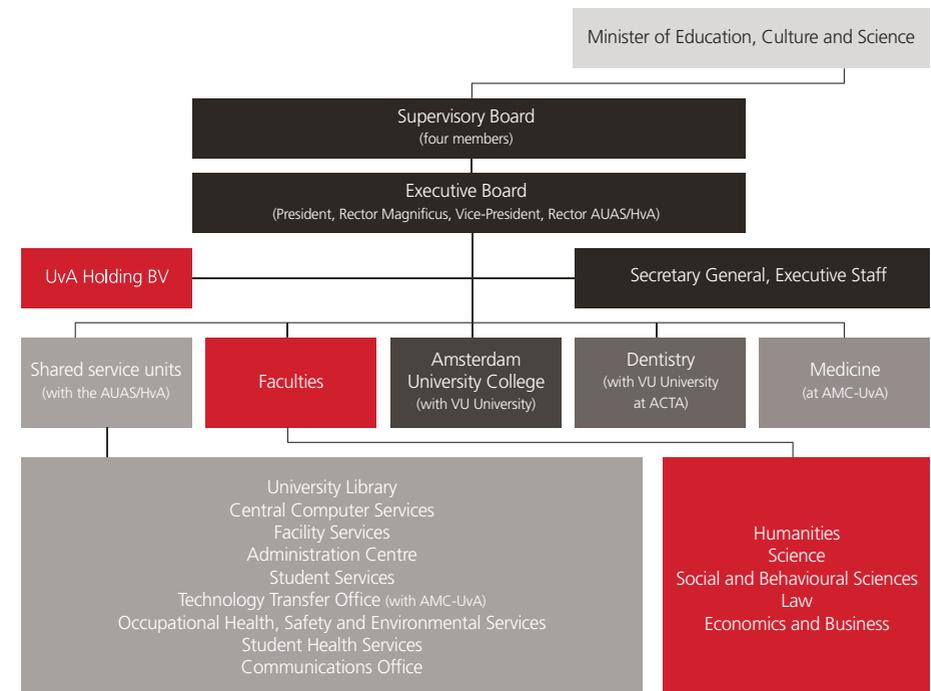
⁶ Until the planned merger of SARA with the SURF foundation has been realised.

affiliated parties are part of the consolidation base for the Annual Statement of Accounts and which are part of the VAT group. The Annual Statement of Accounts contains an additional list of organisations – mainly foundations – affiliated in some way with teaching and research at the UvA but not considered to be part of the UvA group on account of their Board structure or financial relationship with the UvA.

1.6. Internal structure

The UvA has seven faculties, including those in AMC and ACTA. Faculty activities are organised in Colleges (Bachelor's programmes), Graduate Schools

Internal structure of the UvA



(Master's programmes) and research institutes. Academic and support staff are organised in departments and faculty offices, respectively, and are hired by the Colleges, Graduate Schools and institutes.

Most internal services are assigned to the shared service units, which are responsible for providing effective and reliable administrative, facility, computing and other services as efficiently as possible. The University Library is also a shared service and incorporates the Allard Pierson Museum for archaeology, the Special Collections, the University Museum and around 40 other collections.

The shared service units are paid for by users at the faculties and other units, while the Executive Staff, which is the secretariat to the Executive Board and the UvA's policy and advisory unit, headed by the Secretary General of the UvA, is covered by a small percentage withheld from the government funding apportioned to the faculties.

1.7. Management control

The UvA operates through a system of integral management. This means that every level of the organisation is responsible for ensuring efficient, effective and lawful use of (mainly public) funds made available to the University, the proper management of its rights and assets, and compliance with the statutory rules and regulations laid down in the Dutch Higher Education and Research Act, its secondary regulations (including the audit protocol) and other laws. This system of integral management also explicitly includes responsibility for the lawful spending of the government grant and for preventing, detecting and combating fraud. The Executive Board holds final responsibility.

The internal control system encompasses a full planning and control cycle, internal budgeting, monthly reporting and quarterly analyses and prognoses of income, expenses and cash flows. Each faculty and shared service has its own controller who reports to the CFO by way of the relevant dean or director, who then informs the Executive Board. The tasks, authorities and responsibilities making up this framework are laid down in the Standard Operational Management Mandate and the Financial Management Regulations. By 2014, the UvA intends to have achieved the level of Management Control, together

with a fully functioning In Control Reporting system. The Supervisory Board's Audit Committee monitors the system's functioning and results.

Under this integral management structure, each unit is expected to have its own systems and processes through which to verify the quality of performance and compliance with rules. Central audits conducted by the Executive Staff are intended to enable the Executive Board to examine and assess how well various facets of the integral management system are functioning, as well as other aspects. Now that the UvA has sought institutional accreditation under the new statutory provision, these central audit activities will be expanded to cover quality assurance in research and especially teaching.

The UvA's governance model is aimed at controlling institutional risks and at providing a reasonable (not absolute) assurance that activities are carried out effectively, efficiently and in accordance with the law. The Executive Board recognises that unforeseen circumstances may always arise and that certain risks will always remain. Recognising this is a fundamental part of risk management, which itself is part of integral management and aimed not only at reducing, avoiding and safeguarding against risks but also at acknowledging the risks that remain.

Codes of conduct and a transparent academic culture play a crucial role in the University's risk management system, with transparency serving as a key guiding principle in all the UvA's activities. The UvA subscribes to the Netherlands Code of Conduct for Scientific Practice, the Code of Conduct for the Use of Personal Data in Scientific Research and the Code for Transparency on Animal Testing. The Academic Integrity Complaints Regulations provide guidelines for reporting violations of these codes. The UvA's Regulations on Ancillary Activities lay down rules for releasing information about potential conflicts of interest of researchers and other staff members. Internal policies for the prevention of fraud and risks further include the UvA-Amsterdam University of Applied Sciences Whistleblower Scheme.

2. General governance of the UvA

2.1. Principles for internal governance

The guiding principles with respect to teaching and research are set out in the Strategic Plan. The common theme is that quality prevails: success is measured by results. Based on this common theme, the main principles for internal governance within the UvA are as follows:

- *unitary responsibility*: responsibility is always vested in a person and not in a group or team (it may be delegated by mandate if not explicitly established otherwise);
- *academic leadership*: each academic unit is headed by a term-limited academic (governance line), supported by a director of operational management (faculty) or an operational manager (institute) for the management line;
- *integrated management*: each level bears integrated (i.e. substantive and full-cost financial-business and personnel) responsibility for its own decisions and actions, within the framework of the law, the policies of the UvA and the applicable mandate (or sub-mandate). This is made possible through performance-based funding in cases of exogenous inducement of costs;
- *factual underpinning*: decisions are based on facts and figures from approved sources;
- *first-line quality assurance*: each level of governance and management has a system of measurement and reporting in order to determine whether its operations meet the prescribed requirements. These systems will be harmonised within the UvA;
- *accountability and transparency*: administrative information is transparent and available to be consulted at least within each Graduate School, College, research institute and shared service unit within the entire institution.

Institutes, Graduate Schools and Colleges are constellations of research and/or teaching programmes and projects without staff, but with a budget. They hire in personnel from the departments and capacity groups (faculty support staff), and under certain conditions, from outside the UvA. Institutes, Colleges and

Graduate Schools exercise control over budgets, and departments and capacity groups exercise control over human resources. This so-called university governance modernisation model is intended to separate responsibilities for the following:

- study success and educational quality,
- research output and quality,
- personnel policy and discipline development.

The separation between budget and people, and the resulting necessary dialogue in the triangle between these three roles, is intended to ensure the presence of open and observable checks and balances between these responsibilities. Under terms and conditions pertaining to these checks and balances, it is possible for one person to fulfil two roles. Such roles must first be identified and established in the Faculty Regulations.

The distinction between teaching and research is made in the budgeting process, corresponding (to a limited extent) to the distinction made by the government between government funding for teaching and government funding for research.

All six of these principles are intended to ensure that the parties concerned actually accept responsibility for the quality and provide accountability. However, all of the organisational units within the UvA form a single UvA. Governance is not focused on what is best for the individual units, but what is best for the UvA's ambitions and the statutory performance of its duties. If necessary, matters may be escalated to the next level in order to prevent them from remaining unresolved.

As for the support services, the same principle applies with respect to the choice to organise these services into shared service units. Faculties and other organisational units purchase the services they need from these service centres.

2.2. Quality assurance and risk management

Where quality is important, it must be an ongoing concern; it can never be taken for granted.

Each organisational unit works systematically at every level according to a

PDCA cycle. Each unit has goals, and thus a form of feasible planning (Plan), implementation (Do), ascertaining whether the goals set out in the plan are being achieved (Check) and taking measures as a result of the findings (Act). This cycle provides the primary quality assurance that is inherent to the principles of governance. The results, which are accompanied by action points and discussed between the various levels, are reported upward.

The quality assurance system includes a system of information provision and auditing. This is necessary, given that responsible parties two or more levels below cannot rely solely on their own observations, but require information provided according to institution-wide definitions. Such parties must also have a system of auditing that allows management to determine whether the reports that they have received reflect reality and provide a solid foundation for formulating policy, and whether the structure and functioning of the organisation are in compliance with the applicable requirements. The quality assurance system consists of an internal and external audit function, in addition to controllers within the organisational units.

The findings of these auditors and controllers allow the Executive Board to assess potential risks to the UvA, as well as any measures that are being or will be taken to reduce or avoid these risks. Whereas reports and accounts are primarily retrospective, this system increases the likelihood of achieving good results in the future as well.

The UvA invests in strengthening the system of planning and control at all levels, both in the educational programmes and operational management. The *Strategic Plan 2011-2014* states that the UvA aims to be 'in control' in 2013, in two respects:

- institutional accreditation from the Accreditation Organisation of the Netherlands and Flanders;
- external recognition of the level of management control.

2.3. Budgeting, planning and accountability

The UvA finances its statutory duties largely through government grants and tuition fees. The Executive Board uses these funds to finance the performance of

the faculties according to a cost-oriented budget model (as specified in the UvA allocation model). In addition, faculties (and shared service units) are able to acquire their own income without having to relinquish a portion thereof to the Executive Board.

At the highest level is the Strategic Plan, the long-term planning document for the direction and strategy of the UvA. It provides a foundation upon which each faculty bases its own long-term planning document (i.e. covenant), which consists of the most important agreements made with the Executive Board, supplemented by a faculty-specific long-term document. Covenants have the same duration as the Strategic Plan. They outline the way in which the faculty will contribute to the realisation of the Strategic Plan, along with the dean's further policies for the planning period.

The Annual Plan is included in the budgetary cycle, which begins with the framework letter and ends with the UvA Budget. During the process of adopting the framework letter (just before the summer recess), the Executive Board takes any decisions that will affect the policy and management of the faculties and organisational units in the next calendar year and decisions regarding their funding and income. The framework letter is thus the most important annual instrument for integrated management, although the decisions are still subject to the (national) Budget Memorandum and the results of the current academic year. The UvA Budget and the annual plans for the coming year are adopted in early December and submitted to the Supervisory Board. Accountability to the government and the public takes place through the UvA Annual Report (including the Annual Statement of Accounts), which is prepared in late March and submitted to the Supervisory Board for approval in April (post-audit).

Based on this institutional-level cycle, all organisational units submit their draft budgets/annual plans (within the framework of the covenant and framework letter) in September (shared service units) or October (faculties). The Executive Board approves the budgets of the faculties and shared service units, subject to modification, by including them in the UvA Budget. Each organisational unit must prepare its annual report, accompanied by the 'in control' statement and internal letter of representation by mid-February. Faculties prepare budgets and reports by department and institute, as well as by Graduate school and College. See the PDCA yearly calendar in the appendix; the exact deadlines of the

planning and control calendar are announced at the beginning of each year.

2.4. Periodic Executive Council (PBO)

Twice each year, the Executive Board holds a Periodic Executive Council (PBO) meeting with the dean of each faculty.⁷ The following topics are discussed in November:

- policy proposals in the organisational unit's budget/annual plan for the coming year, along with the long-term budget;
- the autumn report covering eight months of the current year.

The following topics are discussed in June:

- the organisational unit's Annual Report (including the Annual Statement of Accounts and the Annual Social Report) for the past year;
- strategic policy objectives (preparation for the framework letter and progress on the covenant);
- the spring report covering four months of the current year.

The topics also include follow-up on the agreements made in the previous PBO meeting. Clearly, the agendas for PBOs also include other documents of strategic importance, such as quality assurance, assessment and accreditation reports, proposed collaborative agreements and reorganisation plans. The 'marap' (management report with dashboards) supports the participants in the PBO. The agenda for the PBO is set by the Executive Board, and allows space for points added by the dean. The Executive Board designates the staff members with whom the dean will prepare for the PBO.

Periodic meetings are held with the directors of the shared service units within the same cycle. The evaluation and development of service level agreements (SLAs) form a standard part of the agenda for the periodic meetings with the shared service units. During these meetings, the units establish or confirm their SLAs and fees for the coming year along with their budgets.

⁷ Consultation with the dean of the Faculty of Medicine takes place within the UvA-AMC Executive Council. Consultation with the dean of ACTA and the dean of the AUC takes place within a joint meeting of the UvA and VU, in which the two Boards are represented according to the terms established in their respective General Regulations.

3. Governance model for teaching

3.1. The degree programme

The WHW focuses on degree programmes (Article 7.3). A degree programme is a cohesive whole of units of study, focused on clearly defined exit qualifications. Each degree programme has a final examination, and each unit of study has a partial examination. Degree programmes are organised within faculties.

Each degree programme or group of degree programmes is governed by a programme director (Article 9.17), to be nominated by the dean of the faculty to which the degree programme belongs. It is possible for the same person to be the director of more than one degree programme, but not of a Bachelor's degree programme and a Master's degree programme simultaneously.⁸ The programme director ensures that the curriculum offered is actually provided and that it meets the quality standards.

The objectives and content of the degree programme are specified in the Teaching and Examination Regulations, which are established by the dean. The authority to determine whether a student has achieved the objectives specified in the Teaching and Examination Regulations rests with the Examinations Board (Article 7.12). This Examinations Board in fact exercises a monopoly on the granting of academic degrees within the University. It is therefore of the utmost importance that the work of the Examinations Board be irrefragable. The recent amendment to the WHW (2010) reinforces the position and independence of the Examinations Board.

Where necessary in the elaboration of the Teaching and Examination Regulations, the Examinations Board may set additional rules regarding its duties and authorities, grant exemptions, and designate examiners who are authorised to conduct specific examinations (Article 7.12 c). The Examinations Board is

⁸ Although this is allowed under the WHW, UvA policy consistently makes a clear separation between Bachelor's and Master's degree programmes.

established and appointed by the dean (Article 9.15, Section 1 e). It also reports to the dean (article 7.12 b). With regard to the establishment and functioning of the Examinations Board, the UvA has a Model of Rules and Guidelines for the Examinations Boards.

3.2. The Graduate Schools and Colleges

The UvA has a large number of degree programmes. It therefore has an administrative layer between the dean and the degree programmes, even though such a layer is not required by law. The name *Graduate School* (or *School*) is used for institutes that offer Master's degree programmes (and the course work for doctoral programmes), and the name *College* is used for institutes that offer Bachelor's degree programmes. The Faculty Regulations list the Schools and Colleges belonging to that Faculty. The same person is not allowed to be the director of a College and a School simultaneously.⁹ This is due to the positioning of the Bachelor's and Master's as separate degree programmes, to the possibility of admission to a Master's degree programme independently of a specific Bachelor's programme, to the possible discontinuation of the follow-on Master's degree programme, and to the social mission and span of control. Being the director of a College involves different responsibilities, and thus requires different talents than those needed to be the director of a School with doctoral programmes.

A vertical doubling of roles between the functions of director (of a College/School) and programme director is conceivable however, especially if the College or School offers only one or two degree programmes.

The following table is helpful for differentiating the roles of programme director and College/School director:

Programme director	College/School director
Organisation of the degree programme: <ul style="list-style-type: none"> • organisation and implementation within budget • curriculum adjustments 	Guidance and support of programme directors: <ul style="list-style-type: none"> • budgeting for degree programmes • coordination of degree programmes and Teaching and Examination Regulations

⁹ See the first appendix for several exceptions that will continue to be allowed for some time.

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| <ul style="list-style-type: none"> • preparation of the Teaching and Examination Regulations • intake and student career counselling • staffing from within the departments/ external • participation in the recruitment and selection of lecturers. | <ul style="list-style-type: none"> • educational support and Student Desks • monitoring the quality of, and the processes related to, accreditation processes. |
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|--|--|
| Evaluation of the degree programme: <ul style="list-style-type: none"> • implementation of the quality assurance system • monitoring and follow-up of course and other evaluations • resolution of complaints • preparation of annual report (Oct.) • internal review for assessment visits • provision of information for annual consultations (performance reviews). | Educational policies of the discipline: <ul style="list-style-type: none"> • realisation of covenant targets (KPIs) • range of degree programmes offered • alignment within the educational chain • structure of quality assurance system • annual plan and annual report (Dec.). |
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|---|---|
| Consultation: <ul style="list-style-type: none"> • with Board of Studies • with Examinations Board • with the College/School director. | Consultation: <ul style="list-style-type: none"> • within the university governance modernisation triangle (research institute divisions) • with the dean and colleagues • with the programme directors. |
|---|---|

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|--|--|
| Face of the degree programme: <ul style="list-style-type: none"> • recruitment of students • contacts in the field | Face of the College/School: <ul style="list-style-type: none"> • external representation • national and international profiling. |
|--|--|

Colleges and Schools are 'task' organisations; the dean provides them with funding to deliver degree programmes. College/School directors thus make it possible for the programme directors to provide the programmes, while procuring the other necessary services in support of teaching (e.g. the Student Desk) from the Faculty Office or providing these services themselves with staff formally belonging to the Faculty Office (capacity group, i.e. faculty support staff). The primary tasks of the Colleges and Schools include initiating changes in the degree programmes offered and preparing the Teaching and Examination Regulations for adoption by the dean.

3.3. Advisory structure

Meetings between the directors of Colleges/Schools and their programme directors – possibly supplemented by students – qualify as advisory committees to the directors of Colleges/Schools, given the principle of one-head management.

Each College and each School has at least one joint¹⁰ Board of Studies (Article 9.18). This Board of Studies has advisory authority (Article 9.18 of the WHW and Article 26 of the Management and Administration Regulations) with regard to the relevant degree programme (or programmes). As specified in the WHW (Article 9.18, paragraph 2), this authority is reinforced because the Board of Studies is given the opportunity to conduct consultations, and has the right to written notification regarding follow-up. Moreover, its recommendations are used as information for the faculty's system of participation in decision-making. The Management and Administration Regulations assign the following duties to the Board of Studies, in addition to those specified in the WHW:

- a. advising and supporting the director of the College or School;
- b. providing advice on the educational programmes and policy-making processes within the College and School;
- c. providing advice on monitoring the quality of the degree programmes;
- d. providing advice on monitoring the quality of student counselling;
- e. providing advice on monitoring the alignment of Bachelor's degree programmes with the designated corresponding Master's degree programmes (or vice versa).

According to Article 27 of the Management and Administration Regulations, the faculty maintains a Graduate Studies Committee, in which the director (or directors) of the Graduate School (or Schools) and those of the research institutes together design the course work for doctoral programmes and monitor the doctoral success rate.

Examinations Boards do not primarily constitute an advisory committee. They are involved with the assessment of the results of teaching process rather than with the teaching process itself. In this capacity, they may provide

¹⁰ In other words, it consists of equal numbers of students and staff members – appointed by the dean, following consultation with the director of the College or School.

recommendations on various matters, including the Teaching and Examination Regulations (according to Article 30 of the Management and Administration Regulations, the dean must request such recommendations).

3.4. Budgeting, planning and accountability

The structure of the academic year provides the framework for the PDCA cycle for teaching. In the interest of timely organisation, information provision and scheduling of the programmes offered, the academic year that begins in September is planned in the spring. Because the programmes are largely a recurring annual 'process', the greatest portion of such planning is performed by identifying what should be done differently, relative to the current year. If, therefore, far-reaching changes are needed, they must have been considered in the autumn, before the preparation of the subsequent annual plan for the programmes. The PDCA cycle of a College/School therefore consists of the following products:

- In the first half of October, the Board of Studies prepares a report on the previous academic year. Based on an available format, this report contains the recommendations that have been requested and provided unsolicited, as well as the statutory evaluation of the implementation of the Teaching and Examination Regulations and a critical reflection on the programme's performance and satisfaction scores.
- Also in early October, the Examinations Board releases its legally required (Article 7.12b) report to the dean covering the recently completed academic year, making it available to the Colleges and Schools concerned as well.
- Deans may include the findings from these reports in their draft budgets, in which they also determine the draft budgets of the Colleges and Schools for the next year.
- In December, each College and School issues an annual plan/annual report. The annual report on education analyses the previous academic year and reflects on the goals from the Strategic Plan and the *Vision on Teaching and Learning*. The reports from the programmes and the Examinations Boards are included in an appendix, describing the changes and improvements that will be made, including those based on the findings regarding the past academic year. The annual plan covers at least the upcoming academic year and its preparatory period (January-August), although it can also include a

long-term plan that is updated and elaborated annually. These documents are discussed with the dean, who then approves the annual plans and any resulting adjustments to the Teaching and Examination Regulations (preferably in January, and no later than April). The dean uses the annual reports of the Colleges and Schools in the faculty's Annual Report, which should be completed in February.

- The new programme prospectus appears in the spring, containing the improvements identified in the annual plan.
- At the end of each semester (i.e. in February and September), the Board of Studies discusses the results from and progress of the past semester. The aim is to be able to apply 'quick-win' improvements and remedial actions immediately in the next semester, in order to avoid losing an entire year waiting for the next annual plan of the College/School.

For these purposes, quantitative data on academic achievements and graduation rates is continuously available in UvAdata and, periodically, in maraps.

The faculty as a whole has an overall long-term education policy plan that spans those of the Colleges and Schools (and which can be part of the faculty component of the covenant), in which the following are described:

- the future development of the entire range of study programmes;
- the regulation of the maximum number of student places and the expansion or restriction of student intake;
- the budgeting methods of Colleges and Schools;
- the educational quality policy and the governance concept applied;
- the accreditation roster;
- follow-up on accreditation findings;
- the manner in which the faculty is pursuing the educational objectives specified in the Strategic Plan and the covenant;
- the manner in which the dean implements the relevant statutory and mandated powers.

At least once during each covenant period (or more often, if deemed necessary), the dean compiles assessments of the Teaching and Examination Regulations, weighted to allow for the resulting study load for students (Article 7.14). The

actual text of the Teaching and Examination Regulations is revised and updated annually, between September and January.¹¹

3.5. Quality assurance for degree programmes

In response to the institutional accreditation audit, the educational quality policy was redefined in 2011, in the UvA's Quality Assurance Framework policy paper. Each faculty has a concise quality assurance manual containing the following general content:

- the roles and responsibilities of the parties involved in the quality assurance. This refers to internal distribution of responsibilities (and partial responsibilities) within the faculty across the members of the academic staff and support and management staff who are involved in teaching, including track coordinators, year coordinators, (faculty-level) quality assurance staff, study advisers etc.
- the improvement policy, stating how recommendations are developed, and identifying the parties responsible for initiating measures for improvement;
- the internal consultation structure (internal faculty 'PBOs'), showing how the connection between the various levels and functions is ensured;
- the manner in which internal or external committees, advisory councils or consultative bodies with a structural character are involved in the programmes;
- an evaluation plan, including a description of the method of implementation and follow-up for teaching evaluations;
- the regulations of the Boards of Studies and Examinations Boards.

The PDCA cycle described in Section 3.4 and the upward reporting are part of the quality assurance system, in accordance with the management principle of *first-line quality assurance*. In addition, the audit function assesses the existence, functioning and results of the first-line quality assurance system, and advises the institutional administration and the Colleges and Schools in this regard. There is a strong resemblance between this function and the control function in operational management.

¹¹ The Teaching and Examination Regulations should preferably be completed in January, given the starting date for applications for the new academic year. In any case, they must be completed no later than March, before enrolment begins.

With regard to the *results*, the independent Examinations Boards play an important role in quality assurance. They guarantee the quality of the degrees awarded (Article 7.12b, paragraph a of the WHW), and they designate the examiners who are authorised to conduct and evaluate examinations (Article 7.12c).

The dean obviously ensures the *existence and operation* of the quality assurance system, making use of the reports from the Examinations Boards and the accreditation reports from the degree programmes. The dean is assisted in these duties by the centrally organised internal audit function.

The duties of the Senate include obtaining a UvA-wide overview of the quality and quality assurance, in addition to informing and advising the Board in this regard. It is recommended that the Senate do this in an annual report, to which the Executive Board formulates a substantive response. The Senate's annual quality report and the internal audit reports assist the Executive Board in providing an account of the quality and quality assurance to the Supervisory Board (quality committee) and the outside world.

The audit function restricts its activities to the *collective* performance of the quality chain in the degree programmes and faculties. It does not conduct assessments of *individual* staff members. Quality assessments of individual examiners are conducted through the Examinations Board. Assessments of individual lecturers take place during their annual consultations (annual appraisals). The annual consultations are held with the department chair or a duly delegated manager from the department, with the programme director acting as an informant. The department provides input for the faculty's annual report, with attention being paid to the quality of the academic staff (in the discipline, as well as in the area of teaching skills). Together with the Senate's annual quality report, these passages help to complete the quality circle at the UvA.

Last but not least is the system of external quality control, which consists of the institutional audit and the programme accreditations, which are conducted once every six years, in accordance with the accreditation frameworks of the Accreditation Organisation of the Netherlands and Flanders. The preparation for and the results from these audits, along with the action plans arising from them play an important role in promoting further improvement within the PDCA cycle. The Education Inspector is authorised to initiate investigations outside the context of these audits.

4. Governance model for research

4.1. The research institutes and research schools

Although there is considerable legislation with regard to the governance of teaching, there is very little with regard to research. Article 9.15 of the WHW states that the dean will establish a research programme each year, monitor the implementation thereof and report about it to the Executive Board.

In accordance with Articles 9.20-9.23, the UvA further stipulates that research is to be conducted in faculty, inter-faculty and inter-university research institutes and schools. These entities are established in the faculty regulations, the Management and Administration Regulations, and in joint regulations, respectively. Each research institute is headed by a research director. Participation in leading inter-university research schools (e.g. NOVA and CBG)¹² takes place from within the research institutes. Like the Colleges and Schools in the context of teaching, research institutes are 'task' organisations without staff, hiring in their staff from the departments (academic staff) and capacity groups (support and management staff). In inter-departmental research institutes, one of the faculties is always designated to arrange matters of governance, management and organisation.

Teaching is primarily externally driven (i.e. by the students who enrol). Research, on the other hand, is primarily driven by the internal research programme (Article 9.15), which in fact consists of optimising the use of available research resources. In addition, researchers are characterised by a high degree of autonomy, especially the professors and principal investigators who also bring in their own money (indirect funding, contract funding and donations) and act as project leaders. With the introduction of full cost accounting in 2006, the UvA strengthened the coordination and management

¹² NOVA = Netherlands Research School for Astronomy. CBG = Centre for Biomedical Genetics.

tasks of its research directors and deans, as this system also requires individual researchers who bring in their own funding to make arrangements for the necessary matching.

High-level research emerges when space and inspiration are given to the right researchers. Faculty research programming focuses on the following:

- identifying opportunities for current and prospective researchers;
- creating space for them by phasing out research that is or has become less productive;
- connecting to national and international research agendas;
- taking advantage of opportunities for valorisation;
- adhering to a content-based path in profiling the faculty and the University as a whole.

In many cases, this calls for long planning periods. A research project can easily take 3-4 years; a research programme can take 6-8 years, and an entire line of research can take 10-12 years. Research planning therefore involves a balancing act between phasing out, innovation and incubation.

The organisation of the research within the institutes is more flexible over time than the organisation of the teaching within the Colleges and Schools. Institutes can come and go, depending on new themes, insights and collaborative efforts. The same can be true of budgets, in the sense that research is budgeted in real time, while the budgeting of teaching lags 16 months behind actual performance.

4.2. Research governance by the Executive Board

As in the case of teaching, quality and excellence are also the primary objectives of research. They are measured in terms of the number and impact of publications, and the acquisition of prizes and grants both at home and abroad. As specified in Article 9.15 of the WHW, the Executive Board has two particularly important management instruments in the area of research: the appointment of professors (along with the establishment of Chairs) and the allocation of research funding to the faculties. The first instrument takes advantage of natural shifts within the cycle of research programming: departures and changes of professors. The effect of the

budgetary instrument is more immediate but also more global, affecting the level of the faculty as a whole. In the current budgetary system, the Executive Board rewards successful doctoral projects, graduate degrees to a limited extent (from the point of view of research-based teaching), and success in the acquisition of resources in competitions for national and international research funding (as of 2013).

Nevertheless, a significant proportion of the research budget is allocated 'strategically' (i.e. on a historical basis but with a gradual shift towards identified research priority areas). This is aimed at sharpening the University's research profiling, which is desirable for various internal and external reasons.

As stipulated in Article 22 of the WHW, research institutes may be charged directly with management for a specified period (up to five years). In other words, they may be made internally independent and budgeted directly (by the dean or, where inter-faculty institutes are concerned, by the Executive Board). For inter-university research schools, this is common in some sectors, although it has yet to become standard practice within the UvA. It nevertheless offers an interesting opportunity for making it possible for high-level scientists to set up their own institutes (in suitable cases), sometimes in collaboration with VU University Amsterdam or other scientific institutes in Amsterdam, allowing them to develop quickly, without being dependent upon faculty-level resource trade-offs.

4.3. Advisory structure

At the institutional level, the University Committee on Research functions as an advisory body to the Executive Board with regard to research policy and the allocation of resources, additional or otherwise. The members are appointed by the Executive Board, on the recommendation of the deans.

As specified in Article 25 of the Management and Administration Regulations, research institutes may have their own advisory councils, consisting of individuals who are not employed in the institute and who are appointed by the dean in consultation with the research director. These individuals can be selected for their scientific stature and their ability to increase the institute's

international scientific collaboration, as well as for their role in establishing connections with companies and institutions or in acquiring external funds. No regulations exist for the internal advisory and consultation structure within research institutes, nor for the internal organisation of such structures, given that the nature of academic research does not call for such a fixed structure.

As noted in Section 3.3 of this paper, Article 27 of the Management and Administration Regulations stipulates that research institutes will collaborate with the Graduate Schools in Graduate Studies Committees with regard to doctoral programmes. These committees are needed in order to provide doctoral candidates with a structure that ensures they are not left too much to their own devices. The improvement of the doctoral programme and the doctoral success rate is an important objective of the Strategic Plan. In addition, Article 38 of the Management and Administration Regulations stipulates that there is to be a University-wide Doctoral Students' Council that provides recommendations based on the general interests of doctoral candidates.

4.4. Budgeting, planning and accountability

The calendar year serves as the basis for the research planning cycle. As a part of their annual plans/budgets, deans finalise the annual research programmes of their faculties in October (Article 9.15, paragraph 1 (c)). Research directors submit the input for their research programmes in the summer (late August) through their annual plans. Given the long-term character of most research, an institute's annual plan is actually the first annual instalment of a continuing long-term plan.

A research institute's reporting takes place in January, although the report may actually be written throughout the year. This report mentions research achievements (e.g. publications, completed doctorates, and any prizes and grants awarded), as well as any economic and social valorisation objectives and spin-offs that may have been achieved. The report also provides insight into the use of resources (people and facilities) and their productivity. The month-by-month updating of METIS is necessary in order to report achievements in January. The institute's operational manager bears responsibility for this task.

The research reports of the institutes provide material for the faculty's Annual Report, as well as for the dean's report concerning the research programme

(included in the Annual Report). No later than November, each institute prepares a brief, separate report on the doctoral training programme(s) during the previous academic year. This partial report is a building block for the Annual Report on the academic year that the Graduate Schools must submit in December.

The faculty as a whole has an overall long-term policy plan for research, which spans the institutional plans and contains descriptions of the following:

- the future development of the faculty's research as a whole (including focus and volume);
- structural or long-term collaborations with other universities and research institutes;
- budgeting method of the institutes;
- policy on the procurement of subsidies and grants;
- policy of research quality, along with the governance concept applied;
- promotion of valorisation and entrepreneurship;
- assessment schedule;
- follow-up on assessment findings;
- the manner in which the faculty is pursuing the research objectives of the Strategic Plan and the covenant;
- the manner in which the dean implements the relevant statutory and mandated powers.

The research policy plan may be part of the faculty planning document for the covenant.

4.5. Quality assurance for research

The Strategic Plan clarifies the objectives the UvA will pursue with regard to research quality. Each faculty has a concise quality assurance manual containing the following general content:

- the roles and responsibilities of those involved in quality assurance for research and the doctoral programmes. This refers to internal distribution of responsibilities (and partial responsibilities) within the faculty across the members of the academic staff and the support and management staff who are involved in research and the doctoral programmes, including project

leaders, principal investigators, quality assurance staff (faculty level) and the relevant Graduate School(s), etc.

- the improvement policy, stating how recommendations are developed and identifying the parties responsible for initiating measures for improvement;
- the internal consultation structure (internal faculty Periodic Executive Council meetings), showing how the connection between the various levels and functions is ensured;
- the implementation of the VSNU Code of Conduct and the transparency of ancillary activities;
- the manner in which the advisory council and other internal or external consultative bodies with a structural character provide advice concerning research;
- the manner in which follow-up to assessment reports is performed;
- external communication about research (including with regard to compliance with legislation concerning research).

The PDCA cycle described in Section 4.4 and the upward reporting are part of the quality assurance system, in accordance with the management principle of *first-line quality assurance*. In addition, the audit function assesses the existence, functioning and results of the first-line quality assurance system, and advises the institutional administration and the institutes in this regard. There is a strong resemblance between this function and the control function in operational management.

With regard to *results*, the independent assessment committees and research councils play an important role in quality assurance, as do their peer review systems. The citation and ranking agencies should also not be ignored. These entities make the results (output) measurable in a manner that, although it is open to debate, is nevertheless used by non-UvA scientists and policymakers to get an initial impression of the quality of the research at the UvA.

The dean obviously ensures the *existence and operation* of the quality assurance system, making use of the reports of the institutes and the assessment reports of the research programmes. The dean is assisted in these duties by the centrally organised internal audit function.

The duties of the Senate include obtaining a UvA-wide overview of quality and quality assurance, in addition to informing and advising the Executive Board in

this regard. It is recommended that the Senate do this in an annual report, to which the Executive Board formulates a substantive response. The Senate's annual quality report and the internal audit reports assist the Executive Board in providing an account of quality and quality assurance to the Supervisory Board (quality committee) and the outside world.

The audit function restricts its activities to the collective performance of the institutes and the research groups within them. It does not conduct assessments of *individual* staff members. The quality assessment of individual researchers is conducted through their annual consultations (annual appraisals). The annual consultations are held with the department chair or a duly delegated manager from the department, with the research director and/or the project leader acting as an informant. In the case of doctoral candidates, the director of the Graduate School serves as an informant. The department provides input for the faculty's Annual Report, paying attention to the quality of the academic staff. Together with the Senate's annual quality report, these passages help to complete the quality circle at the UvA.

Last but not least is the system of external quality control, which consists of the assessments that are conducted once every six years using the Standard Evaluation Protocol (SEP). The preparation for and results from these assessments play an important role in promoting further improvement within the PDCA cycle.

5. Governance model for staff and operational management¹³

5.1. General

As explained in Section 2.1, the UvA governance model is based on academic governance and professional management. Professional management implies that supporting functions are performed by staff members who are trained and who apply professional standards, in line with the agreed price-quality ratio of the supporting tasks.

Ultimate responsibility for the staff and operational management within a faculty rests with the dean, who is supported by a director of operational management, who is appointed with the consent of the Executive Board. The powers of the dean in the context of operational management (e.g. business management, staff management and records management) are specified in the Standard Operational Management Mandate. Article 6, paragraph 4 of these Regulations specifies that the dean is to issue a full or partial sub-mandate for these duties to the director of operational management. The dean also gives a business sub-mandate¹⁴ to the directors of institutes and Colleges/Schools in order to assign them integral responsibility for their allocated budgets. Staff sub-mandates are given to department chairs¹⁵, thereby allowing them to fulfil their duties as managers of the academic staff. When issuing a sub-mandate, the dean may impose supplementary conditions and restrictions beyond those specified in the Standard Operational Management Mandate.

¹³ This section applies to the partnerships between the AMC-UvA and VU University Amsterdam only if they involve the powers of the Executive Board and only if no other arrangements are specified in the general regulations or by agreement.

¹⁴ The business mandate is the mandate specified in the Standard Operational Management Mandate, Article 3, paragraph 1 (a).

¹⁵ The staff mandate is the mandate specified in the Standard Operational Management Mandate, Article 3, paragraph 1 (b) and (c).

The responsibilities of the dean and those of the director of operational management (as mandated by the dean) include compliance with the requirements for permits issued to the UvA with regard to the facilitation of research activities in the faculty (e.g. based on environmental legislation, the Nuclear Energy Act or legislation on animal experiments).

5.2. Departments

The academic staff is organised in departments. Academic research involves people, and the department chair is responsible for the quality of the staff. Good teaching and good research constitute a key element of the UvA's tasks, and the personnel policy supports these activities. A primary task of the personnel policy is thus to ensure coordination between the interests of the individuals and those of the institution. The tasks of the individuals must be matched to the objectives of the teaching and research institutes (within the existing financial framework), while also contributing to the optimal development of the talents of the individuals throughout their careers. In the UvA governance model, the department chair holds a staff sub-mandate. Within the framework of any restrictions imposed by the dean, this sub-mandate includes opening and filling vacancies, preparing performance reviews, taking decisions with regard to legal status, stimulating or redirecting careers, responsibility for the Basic Teaching Qualification and working systematically on the development of the discipline.

5.3. Financial and staff management

Within the UvA, financial management is set out in the Financial Management Regulations and a number of other regulations relating to specific topics referred to in the Financial Management Regulations. These form the foundation for the integrated cost accounting and budgetary policies, and delineate the financial tasks and powers of those holding mandates (and sub-mandates), of budget-holders, of controllers and of the financial administration. Given the relatively stable nature of the business processes, the annual financial cycle involves reports after 4, 8 and 12 months, accompanied by 'in control' statements and year-end projections at the level of the faculties and shared service units. A half-year report is also

prepared for the UvA as a whole, for which the organisational units provide updates in August on their four-month projections.

The UvA maintains a central purchasing function (organised in Facility Services and operating together with that of AUAS/HvA). This central purchasing system aims to realise favourable contractual and economic conditions for purchasing, in addition to ensuring compliance with procurement legislation. For the latter reason, the purchase of goods and services from outside the UvA is subject to strict rules. The UvA-HvA Regulations for Purchasing and Tendering regulate powers in the area of purchasing. Among other requirements, orders and acquisitions valued above €5,000 require written authorisation or a sub-mandate.

Personnel management is regulated by the Collective Labour Agreement for Dutch Universities and the supplemental UvA regulations governing legal status. The Standard Operational Management Mandate assigns by far the most powers concerning staff to deans (for services to the Secretary General of the UvA). Because the UvA is a single employer, however, holders of mandates (and sub-mandates) and managers are not entitled to take decisions and measures other than those that are explicitly assigned to them by the regulations governing legal status or by the Standard Mandate.

5.4. Controlling

Within the UvA, responsibility for controlling is broadly divided into three segments:

- control is organised as closely as possible to the managers: the implementation of control takes place in faculties and shared service units;
- administrative procedures and the management of the administrative systems required in order to carry out control are performed primarily by the Administration Centre;
- UvA-wide frameworks and policies are implemented by the Executive Staff, together with control of the University as a whole, the real estate division and its affiliates.

As part of the integrated management system, management and control are the responsibility of the head of a faculty/shared service unit. The head is supported in this by a controller (as well as by the director of operational management, in the case of faculties). Each year, deans/directors provide evidence of this responsibility by issuing an ‘in control’ statement and an internal letter of representation.

The controller of an organisational unit serves as its economic and financial conscience. Controllers perform the tasks assigned to them in the Financial Management Regulations and ensure good reporting, in addition to preparing cost analyses, plans and reports on finances (in the broadest sense of the word) and advising management in this regard. An organisational unit’s controller reports to the head of the unit. Controllers operate at the local level within group-wide frameworks established within the UvA. They submit reports in this regard to the corporate controller, taking into account the assigned responsibilities of the Executive Board and the deans.

Controllers enforce compliance with the mandate system within their organisational units. Because mandates (and sub-mandates) are issued within the boundaries set by the WHW and the policy and budget of the UvA, they charge controllers with the task of verifying the compliance of and within their organisational units with applicable laws, with the Collective Labour Agreement for Dutch Universities and with regulations imposed by the Board or by the corporate controller, the Secretary General or other officials on behalf of the Executive Board. The Executive Board has established role profiles for the controllers.

5.5. Shared services and Service Level Agreements (SLAs)

In 2005, the UvA decided to organise general services into shared service units. The goal was to standardise common types of services, while enhancing quality and reducing costs.¹⁶ In theory, the only members of the support and management staff that ‘belong’ to a faculty are those involved with teaching and research, along with secretarial staff and a limited number of staff members in the areas of operational management and personnel.

¹⁶ Additional benefits are being investigated through collaboration with AUAS/HvA services.

The standardisation of services has culminated in three types of services:

- fixed packages: these services are compulsory; billing takes place on the basis of a subscription fee (per unit of a relevant measure, such as FTE or m²), regardless of actual use;
- variable packages: these services are compulsory, but billing is only for actual use;
- optional packages: these services are not compulsory; services can also be arranged externally. In the same vein, the shared service unit has no obligation to deliver.

Because the faculties bear full responsibility for the costs they incur, it is primarily up to them to determine which packages from the shared service units they wish to ‘purchase’ and in what form. As standard services are involved, they do not do this individually. Instead, they consider the shared service units as a cooperative association of the faculties, in which they jointly determine which substantive services will be delivered, and the price-to-quality ratio of those services, and for which they share financial responsibility. A substantive description of the services provided is included in a SLA (service level agreement).

Each shared service unit has a service desk and a complaints desk for questions or complaints (respectively) from employees. It also has a SLA manager, who serves as the contact for the deans and directors of the units that are being serviced.

Acknowledging differences, the budget-holding directors of the Colleges, Schools and institutes within the faculty consult with the director of operational management with regard to the services that the Faculty Office will provide and for what price.

5.6. Accommodations

All UvA accommodations have been incorporated into an administratively separate ‘real estate division’, which rents to organisational units for a price per m² of floor space (the same price for every building), according to the Space Utilisation Regulations (formerly known as the ‘rental model’). Until 2022, the price will increase according to a defined path above inflation, thereby compensating for the decrease in the number of overall m² due to increased

efficiency in the utilisation of space. The rental income realised by the real estate division will constitute a reasonably constant burden of 10-12% on the rest of the UvA. The investment programme (Accommodations Plan 2005-2020) is monitored under the criterion that the results realised by the real estate company (including the cost of capital and measured over the period running from the present through to 2035) will amount to approximately zero after the use of the accumulated reserve. The Accommodations Plan is updated each year in the Budget, taking this criterion into account.

Along with the standard services provided by Facility Services, accommodations are in principle intended to be as user-independent as possible, thus allowing maximum flexibility in the accommodation and relocation of organisational units. Each unit is free to rent the space it deems necessary from the real estate division, provided that the amount of office space is determined according to a standard per FTE (Spatial Standardisation Regulations 2007), which must be used as a guideline in this regard. The rental of external space without the intermediary of the real estate division is not allowed, except for short periods (ranging from four hours to a maximum of one year).

A demarcation list is included as an appendix to the Space Utilisation Regulations. This list specifies which services will be provided to the buildings at the expense of the ‘owner’ (i.e. the real estate division) and which will be borne by the user. The latter category is further divided into services falling within the fixed Facility Services package (and which are thus included in a ‘subscription fee’), and services to be charged to the user on a case-by-case basis. Responsibility for several user services rests with the ‘primary tenant’, who pays for them on behalf of the other users of the building (settling the costs with them, where appropriate). The buildings registry indicates which organisational unit is the current primary tenant of each property.

Lecture halls are officially managed and funded by the Teaching Logistics Office within the Facility Services division, which codes the costs across the various faculties. This centralised management is intended to increase the level of occupation and utilisation through central scheduling. It may apply financial incentives (price differentiation) to this end.

5.7. Security

The open access to large parts of the UvA is a major positive feature, although it makes demands on security. Given the wide variety of security risks, this section is limited to the main points regarding governance with respect to security issues.

Responsibility for the safety of *people* (including occupational health and safety, and company emergency response) is part of the personnel mandate (Article 3, Section d of the Standard Operational Management Mandate). Responsibility for the safety of *material facilities* (e.g. buildings, laboratories) is part of the business mandate, including the fulfilment of licensing requirements in buildings. The demarcation determines who is to bear these costs.

The Company Emergency Response Regulations and the Rules for the Use of University Buildings with appendices specify the cases in which a primary tenant must fulfil these duties for the entire building, and in which exceptional cases (e.g. major events) these duties are fulfilled by others.

In addition to the preventive policy, the Crisis Management Regulations contain policies and operational duties for crises and emergencies. These policies are based on the assumption that on-site authority should be transferred to the emergency services as quickly as possible.

5.8. Advisory and consultation structure

Joint consultation between shared service units and faculties is important from the perspective of shared responsibility and maintenance of the mutual connections in chain processes. There is consultation between the faculty directors and the Secretary General of the University, chaired by the Vice-President of the UvA (Faculty Directors Consultations), with the aim of advising the Executive Board and the deans on strategic issues affecting operational management, and advising and coordinating the implementation of policy. There is also a service provision consultation, involving the corporate controller and the directors of the faculties and shared service units. This body, which is also chaired by the Vice-President, coordinates and directs the service packages (in advance), in addition to discussing accountability for the services and the evaluation of the collaboration (subsequently).

In theory, all other consultation structures should be chaired by a director of operational management. Each shared service unit has a user group, with which the unit consults in preparing the content and implementation of the SLA. The Steering Committee for IT and Operational Management has a permanent core consisting of two directors of operational management, the director of Strategy and Information and the directors of the Administration Centre and ICT Services. This steering group advises on the IT investment agenda with regard to operational management.

For large investment projects (e.g. housing investments per cluster, or the SIS project), as well as for UvA-wide projects involving change and quality (e.g. improving study success rates), a steering committee may be established with an advisory role to the Executive Board. In general, such a committee is chaired by a dean or a director of operational management, thereby emphasising the primacy of the primary process. Members of the steering committee are expected to represent not only the interests of their own organisational units, but also to fulfil the role upon which their appointments were based.

5.9. Budgeting, planning and accountability

Supporting duties are not budgeted separately, either for shared service units or within faculties (Faculty Office). Their existence is justified by the primary processes – teaching and research – and they are thus funded at cost (or for a subscription fee that reflects the average cost). One exception is the direct budgeting of the University's heritage duties (a separate part of the UvA's valorisation tasks, including museums, collection management and the preservation function for books and magazines). This exception exists because it is not the duty of faculties to balance the needs of teaching and research against this function.

The shared service units have a four-year covenant in which the main line of their development is agreed upon with the Executive Board and in the service provision consultation, and they prepare an annual plan/budget in September, based on the framework letter. Their report is released in February.

No later than May, the shared service units report to the service provision consultations (between the directors of the faculties and the shared service units) about the price-quality ratio of their services, thereby allowing any adjustment in price, quality or pricing structure within the service provision consultation to be agreed upon and incorporated into the framework letter in a timely manner.

The planning and reporting of supporting duties in faculties is included in the faculty plans and reports. For cases in which specific legislation (e.g. on animal testing) requires separate reports, faculties are to submit these reports to the competent authorities through the intervention of the Executive Board (as licence holder).

5.10. Quality assurance for operational management

Operational management is a professional task for which quality is derived from professional standards. Each organisational unit has a business controller who is appointed in consultation with the corporate controller, and who monitors the accuracy and legitimacy of the organisational unit's reports at the management level. Business controllers also provide their recommendations and projections with regard to the financial figures and the deployment of resources and personnel, as well as the results achieved by their organisational units. In addition to reporting to their deans/department chairs, controllers are authorised to report directly to the Executive Board or to the corporate controller (head of finance and control). The function of the controller corresponds to that of the financial officer of an organisational unit, but not to that of parties holding budgets of significant value.

The following quality instruments are used in operational management:

- the description of each relevant process in the administrative organisation, which serves as a quality manual for that process, including a risk matrix;
- key performance indicators (KPIs) with regard to the availability and timely and proper functioning of the most important processes;
- benchmarking of these KPIs with other public or private organisations within and outside the education system;
- internal audit reports on the compliance of the administrative organisation and error rates in task performance, supplemented by operational audits or

- investigations conducted by external experts if evidence suggests that such investigations are needed;
- satisfaction monitor for staff and students in order to obtain an overall view of 'customer' satisfaction;
- complaints procedure for individual reports of dissatisfaction;
- reports on service desks including KPIs regarding the number of problems reported and how they were handled;
- 'in control' statement to the Executive Board, accompanying each organisational unit's financial report (and interim report);
- various types of soft controls (e.g. customer days, social media and incidental surveys amongst the organisational unit's own students or staff).

Professional management is characterised by the following:

- solution orientation towards problems encountered in the primary processes, taking into account external regulations and everyone's responsibility to act lawfully;
- 'silent' services (as mentioned in the 2005 reorganisation plan);
- level management control;
- non-individual-based operational processes and services.

5.11. Fraud and misconduct

Action is consistently taken against fraud and misconduct. The UvA/HvA Whistleblower Scheme was established in cooperation with the Amsterdam University of Applied Sciences. A complaints procedure and a complaints committee exists for various types of complaints, including those related to undesirable behaviour.

Academics observe the Dutch Code of Conduct for Scientific Practice. Academic Integrity Complaints Regulations established for this purpose have been established in accordance with the national model. Notification and disclosure of ancillary activities and personal interests in companies are included, in accordance with the Regulations Governing Ancillary Activities. In addition to criminal law, the Collective Labour Agreement for Dutch Universities contains provisions for acting in cases of proven fraud and abuse by staff members.

The 2010 Regulations Governing Fraud and Plagiarism cover fraud and misconduct by students, providing the possibility of permanent expulsion from the institution in some cases.

The manner in which the UvA is to act in cases involving suspected fraud (in matters other than the pursuit of scholarship) by staff members is described in a manual, which also specifies the measures the University will take in order to prevent and detect fraud. In general, such measures should be imposed or approved by the Executive Board, particularly for measures having far-reaching consequences for those involved (see Article 4 of the Standard Operational Management Mandate).

Appendix

Special situations and temporary exceptions

The deans of some faculties have concluded agreements with regard to several situations in which the current structure differs from the description in the governance model.

The Faculty of Humanities is planning to make several adjustments to its current manner of governance. The Faculty considers this necessary in order to improve its ability to respond to developments with respect to the broad labels (national agreements limiting the total number of degree programmes in the Humanities), collaboration with VU University Amsterdam, digital humanities and the formulation of research priority areas. The intention is to implement a new structure by 31 December 2013. This period is needed in order to ensure that a good design is developed and actually implemented within the Faculty. Until that time, it has been agreed that the situation existing within the Faculty of Humanities (which also includes other education managers than programme directors and College/Graduate School directors) shall deviate from the UvA governance model.

For the Faculty of Law, the ‘civil effect’¹⁷ demands that sufficient attention be paid to specific topics throughout the entire legal education programme. This necessitates a greater level of coordination between the Schools and Colleges than is needed in other degree programmes within the UvA. Notwithstanding the governance model, the Board has therefore agreed to allow the directorship of the College and the Graduate School to be filled by the same person, at least for the appointment term of the current director. On expiry of this term, the Board and the dean will confer in order to determine whether this exceptional situation should continue to exist.

¹⁷ ‘Civil effect’: granting admission to licensed professions.

The governance model of the ACTA deviates somewhat from the UvA governance model due to its collaboration with the VU University, as well as the care duties involved. Within the ACTA, the directorship of the college and the school is fulfilled by the same person. Because the professional dentistry training programme comprises both the Bachelor's and Master's degree programmes, and because there are virtually no transfer students, there is no need for this situation to be changed. The ACTA's director of operational management is also the director of patient care.

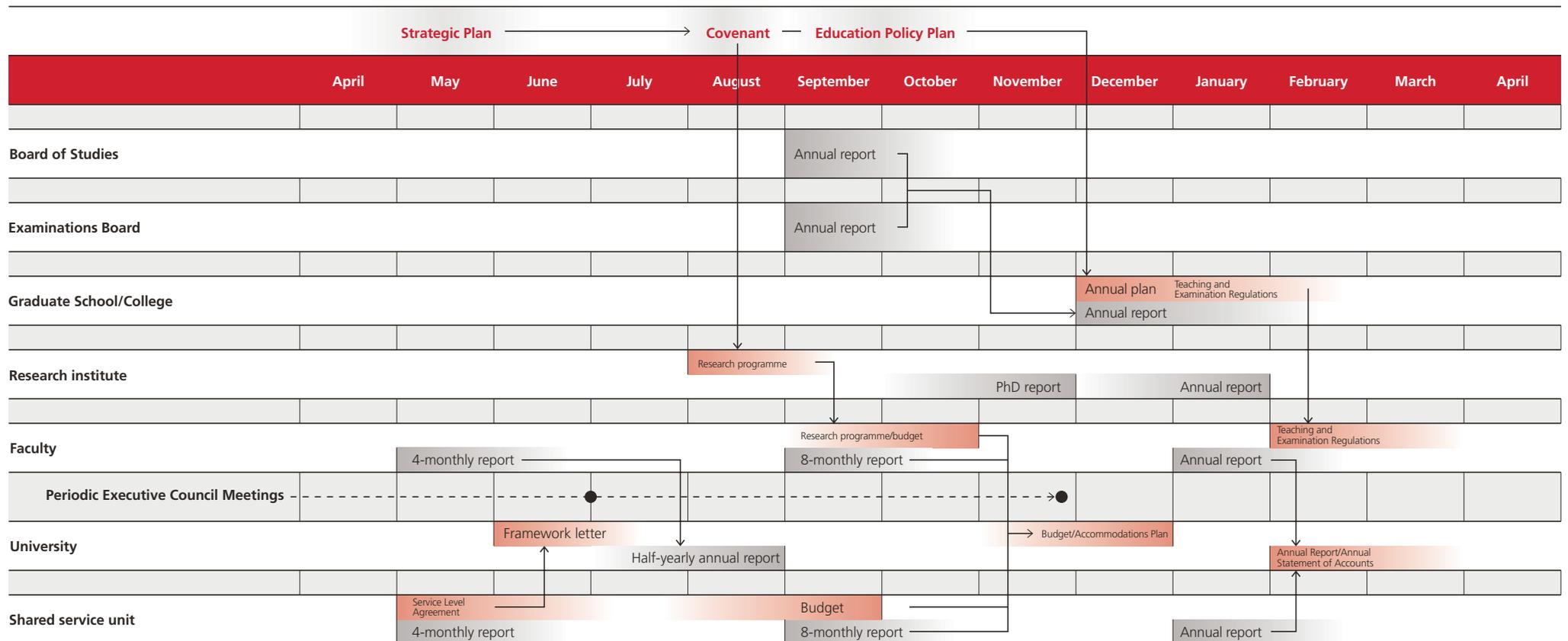
At AMC-UvA, there is no clear separation between the Bachelor's and Master's degree programmes. Instead, the separation exists between the Master's and PhD programmes. The Graduate School exists specifically for the doctoral programme, the scope of which (140-160 doctoral degrees per year) also justifies a separate School. Partly because the undivided programme was only recently divided into a Bachelor's and Master's phase, and because these phases together form the training programme for the medical profession, it is too early to take a decision with regard to a possible split in the leadership of the Bachelor's and Master's degree programmes.

The dean of the Faculty of Science grants a sub-mandate for operational management to two officials: the director of finance and the director of operational management. The director of finance holds the maximum possible sub-mandate for finance. The director of operational management holds the sub-mandates for personnel and for buildings. The distribution of tasks related to operational management across two positions within the Faculty of Science is partly due to the scope of the tasks and the span of control (e.g. contract funding, extensive responsibilities with regard to occupational health and safety, management of laboratories and research facilities, application of various special laws), which make it desirable to have two directors. The distribution of responsibilities within the Faculty of Science has long been standard practice, with the approval of the Board. The Faculty of Science sends one director as a representative to the Faculty Directors' Council and the service provision consultation. This director represents the full mandate for operational management within these bodies.

Within the Faculty of Science, departments and research institutes are 'mirror' units. The director of a research institute is also the ex officio chair of the department that has the same name as the institute. This provides the faculty

with an effective and efficient organisation, corresponding to the way in which organisational subunits are organised as research groups within institutes, as well as to the primary affiliation of academic staff members with their research groups. College/Graduate School directors are responsible for integrated management (including educational content, curriculum, staffing and finance) for the Colleges/Graduate Schools. The Colleges/Graduate Schools procure the lecturers needed for the programmes from the research institutes/departments. This procurement system is subject to conditions, including with regard to the quality of the lecturers. If the research institutes are unable to provide a qualified lecturer, an external instructor may be hired in. Course evaluations are conducted within the College/Graduate Schools, and lecturers are provided with feedback from these evaluations. The Colleges/Graduate Schools and research institutes/departments within the same disciplinary domain (e.g. life sciences, information sciences, physical sciences, interdisciplinary studies) hold department meetings at least twice a year. Department meetings, which are chaired by the dean, are aimed at coordinating strategic and tactical matters at the intersection of teaching, research, the discipline and personnel. Research directors/department chairs are responsible for ensuring that the annual consultations (performance reviews) are held within their organisational units. These consultations should include a discussion of teaching duties and performance. If they are not personally involved in the teaching activities of their staff members, managers should seek further information after the consultations (e.g. from course coordinators or programme directors).

Appendix Annual calendar of PDCA-cycle documents



Governance model

This policy paper describes the governance model of the University of Amsterdam (UvA). For a well-functioning quality assurance cycle, it is essential that everyone in the University knows who is responsible at what level, and which duties and powers have been delegated throughout the organisation.

It is important not only to clearly describe these responsibilities, duties and powers, but also that all those involved act accordingly. Only then can managers be held accountable and will there be a true culture of quality. The UvA has chosen to describe this structure in its governance model. As well as a description of the allocation of responsibilities, duties and powers, the governance model includes a description of the governance of teaching and participation in decision-making.

Credits

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