

The Collective Labour Agreement Dutch Universities 2004-2005 (CAO), article 3.10 forms the basis for the appraisal rules for doctoral students:

CAO Article 3.10 Appraisal rules for doctoral students

1. An appraisal in the meaning of this article is the opinion of the doctoral student's superior on the way in which the doctoral student has performed his tasks.
2. An appraisal of the doctoral student will take place prior to each salary increase as referred to in article 3.10 of the Collective Labour Agreement Dutch Universities.
3. The superior will timely announce to the doctoral student that an appraisal is to take place.
4. In case of mutual consent between the doctoral student and the superior no appraisal will be carried out in the second and following years of the doctoral trajectory, provided the dean gives his written permission for this. In this case, however, there will be an annual interview.
5. The doctoral student will draw up a progress report. Based on the progress report the superior will draw up a draft appraisal stating grounds whether it is possible for the doctoral student to complete the doctoral thesis within the time set. The superior who is not a PhD supervisor, will consult the PhD supervisor.
6. The superior will make the draft appraisal available to the doctoral student at least two weeks before the interview in which the draft appraisal is to be discussed. In the appraisal interview the progress report will be discussed and the superior will explain the draft appraisal. During the interview the doctoral student will have an opportunity to respond to the draft appraisal.
7. The doctoral student can bring someone along during the interview.
8. The superior will make a report of the interview and decide whether the draft appraisal can remain as it is or has to be adjusted. The superior will inform the doctoral student in writing of the report and of his decision on the draft appraisal. The doctoral student will sign the appraisal for seen, also if the doctoral student disagrees with the contents of the appraisal.
9. Within two weeks after the doctoral student has been informed in writing, as referred to in point 8, the doctoral student can submit in writing any objections to the dean.
10. After the period in which the doctoral student can submit objections has ended, the dean will receive the draft appraisal from the superior and decide on adopting the appraisal based on the draft appraisal, the superior's report and decision and any objections by the doctoral student. The dean will also decide on the application of article 3.10 paragraph 3 and 4 of the Collective Labour Agreement Dutch Universities.
11. The doctoral student can object to the decision regarding the adoption of the appraisal and the periodic salary increase in accordance with the provisions of the General Administrative Law Act.
12. This arrangement will become effective as from 1 February 2006.

Explanation

- Article 3.10 of the CAO provides that the doctoral student on the commencement of employment will be grouped under salary scale P 0 for the duration of 12 months. At the end of this period an appraisal interview will take place. After a favourable appraisal the doctoral student will be grouped under salary scale P 1. Each subsequent salary increase will only take place after an annual appraisal. This appraisal provision has been adopted in order to implement article 3.10 of the CAO.
- An employment contract for an indefinite period will be concluded with the doctoral student for the intended duration of the doctoral trajectory. According to the CAO an annual appraisal of the doctoral student is to take place. Within the University of Twente the appraisal's objective is to assess whether the progress of the activities and the results give cause for feeling confident that the doctoral thesis will be completed within the time intended. If the assessment is positive, an annual periodic salary increase will take place.
- Sub 4. In case of mutual consent between the doctoral student and the superior it is possible that no appraisal will be carried out. In this case the dean's written permission is required. If it is decided that an appraisal will not take place, the assumption is that the doctoral trajectory is progressing satisfactorily. An exception to this is the appraisal one year after the commencement of

the employment contract. This appraisal is necessary because it contains an assessment on whether the doctoral student can continue the doctoral trajectory. If it is decided not to have an appraisal take place, an annual interview will take place.

- Sub 5/6. A precondition of the appraisal rules is a limited administrative burden. In order to meet this precondition the starting point is that the doctoral student is to draw up a progress report. Subsequently the superior will give his view on the contents of the report and express his expectations for the future. The superior's assessment will be recorded in a draft appraisal.
- Sub 8. The superior will note on the appraisal form what the doctoral student puts forward during the appraisal interview. This document will be referred to as the report of the interview.

The appraisal form for doctoral students is based on article 3.10 of the Collective Labour Agreement (CAO) of the Dutch Universities 2004-2005:

CAO Article 3.10 Appraisal form for doctoral students

1. Employment at the University Twente

Name doctoral student	
Faculty / Chair	
Commencement date employment contract	
End date employment contract (expected)	
PhD supervisor	
Supervisor	

2. Progress report (to be filled in by doctoral student)

Summary main research results over the past year	
State <u>all</u> publications resulting from the research over the past year (including articles, posters and presentations offered for publication).	
On what parts has the planning been deviated from or has a delay been incurred?	
What caused the deviation or delay and how was it responded to?	

What subjects/courses were taken during the past year? (name subject/course, institute and study load)	
Which conferences/workshops were visited or attended during the past year?	
What teaching programmes were given during the past year (hours per week, total number of hours)?	
What other activities were performed and what was the load involved?	
Was the supervision provided by the PhD supervisor and the mentor sufficient (frequency, and agreements on time and quality)?	
Is the collaboration with others sufficient (colleagues, external contacts)?	
Are the research facilities as stated in the Training and Supervision Plan sufficient?	

Please provide any progress report as set out in the Training and Supervision Plan separately as an appendix

3. Appraisal (to be filled in by superior)	
The superior will give an assessment with accompanying explanation of the doctoral student's results over the past year.	
The superior will describe as clearly as possible in which areas the doctoral student should become proficient.	

<p>The superior will indicate, giving reasons, whether he expects the doctoral student to complete the doctoral thesis within the time set.</p>	
<p>The superior will record the doctoral student's response to the assessment of the results and future expectation.</p>	

<p>4. Agreements (to be filled in by the superior and doctoral student)</p>	
<p>What is the plan of action for the next year? Is the planning according to the Training and Supervision Plan realistic?</p>	
<p>What are the main results to be achieved for the next year?</p>	
<p>What delaying factors are foreseen in meeting the planning? How will these be responded to?</p>	
<p>What agreements are made regarding education (professional education, conference attendance, training programmes)?</p>	
<p>What agreements are made regarding supervision (frequency, duration, quality)?</p>	
<p>Have the agreements laid down in the previous appraisal interview been realised?</p>	

<p>5. Adjustment Training and Supervision Plan (attach copy)</p>

Is it necessary in view of the appraisal to adjust the Training and Supervision Plan?	
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6. Scheduling of the next appraisal meeting	
The next appraisal will take place on:	(date)

7. Signatures	
Date conversation	
Signed for approval by the PhD supervisor date	
Signed for approval by the supervisor date	
Signed for seen by the doctoral student date	
Signed for seen by the personnel advisor date	
Recorded date dean	

The doctoral student can submit to the dean his written objections within 14 days after the date of the draft appraisal.