

## Leiden Law School Research Assessment Guidelines 2019-2021

*The Leiden Law School Research Assessment Framework (RAF) is composed of two parts (A and B):*

*(A) the LLS Research Assessment Guidelines which offer the substantive norms and guidelines as to how to measure individual research output (document A; **this document**), and*

*(B) the LLS Research Assessment Exercise which explains the procedure of application (document B).*

*In addition to periodic research assessment, researchers are expected to apply to a Research Programme with a view to becoming Fellow of that Research Programme (C):*

*(C) The procedure to be admitted to a Research Programme and thus to become a Fellow of that Research Programme is laid down in: the Fellowship Application Procedure (document C).*

*NB: The Research Assessment Framework concerns a retrospective exercise, whereas the fellowship application is forward-looking in nature.*

### Document A: LLS Research Assessment Guidelines

<b>§ 1 Responsibilities</b>	<p>This framework offers binding norms and guidelines for the assessment of individual researcher performance within Leiden Law School for the period 2019-2021. It will serve as the basis for the 2022 Leiden Law School Research Assessment Exercise.</p> <p>The framework applies to each and any member of academic staff within Leiden Law School holding a PhD whose employment status includes research responsibilities. Therefore, it applies to lecturers and postdoc researchers, senior lecturers and full professors. The framework does not apply to PhD students or teaching-only staff.</p> <p>Individual researchers are responsible for acquainting themselves with this framework. They shall communicate with their heads of department as soon as they find that they fall short or anticipate that they will fall short of the expected standards set by this framework.</p> <p>Heads of department are responsible for assessing the quality of the researcher's performance in accordance with this framework. Heads of department shall:</p> <ul style="list-style-type: none"><li>- Discuss with each researcher in the annual performance and development interview ('R&amp;O gesprek') the quality of their performance in light of this framework and agree on any necessary steps to ensure that the researcher will comply with the standards laid down in this framework in the 2019 Assessment Exercise.</li><li>- Apply this framework when holding the 2019 performance and development interview with the researcher in order to report to the Dean of Research.</li><li>- meet with Program Coordinators (PCs) to discuss research lines. This is important, for example, in the context of new appointments and NWO (Netherlands Organisation for Scientific Research) funding applications. The initiative for these meetings should be taken by the head of department.</li></ul> <p>Any departure from the framework in the annual performance and development interview shall be recorded and is subject to review by the Dean of Research.</p>
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	<p>The program coordinator is responsible for awarding points to individual publications and for authorising exceptions to the standards stated herein, in accordance with the rules set out in this framework.</p> <p>The Leiden Law School Board of Research is responsible for the 2022 Leiden Law School Assessment Exercise. The Board shall announce in advance further rules for the practical operation of the Exercise. These rules shall not impose more stringent rules on researcher retroactively.</p> <p>Interim Rounds: in order to provide opportunity for newly appointed or recent PhD-graduates to affiliate themselves to the research programmes, Interim Rounds will be held yearly in June and December. Those invited will apply for entering one or two of the Research Programmes. The first Interim Round following a general assessment exercise, will be used to assess researchers that still need to qualify.</p>
<p><b>§ 2 Basic norm</b></p>	<p>In the three year period 2018-2021, each researcher shall publish a defined number of scholarly publications proportionate to the fulltime equivalent (fte) employment fraction:</p> <ul style="list-style-type: none"> <li>- 1,0 fte: <b>seven</b> scholarly publications, of which at least one is an international scholarly publication</li> <li>- 0,8 and 0,9 fte: <b>six</b> scholarly publications, of which at least one is an international scholarly publication</li> <li>- 0,6 and 0,7 fte: <b>five</b> scholarly publications, of which at least one is an international scholarly publication</li> <li>- 0,4 and 0,5 fte: <b>four</b> scholarly publications</li> <li>- 0,3 fte and below: <b>three</b> scholarly publications</li> </ul> <p>Note that guest lecturers (not teaching-only staff) and full professors with 0,0 fte appointments are subject to this exercise as well.</p> <p>Where applicable, the available fte's shall be reduced in accordance with the relevant employment rules (eg., pregnancy, compassionate leave etcetera).</p> <p>For researchers who obtained their PhD in the course of 2019 or later, a time-proportionate reduction shall apply.</p> <p>The program coordinator and Dean of Research are jointly authorised to agree in advance with the researcher on a proportionate reduction of available fte's for the purpose of dedicating research time to the drafting and submitting of a substantial research grant proposal. The agreement may be subject to further conditions. No reduction shall be granted afterwards.</p>
<p><b>§ 3 Types of publications</b></p>	<p>This framework distinguishes two types of publications: scholarly and professional publications (wetenschappelijke publicaties en vakpublicaties). All other types of output such as popular publications, blogs and unpublished reports are outside this framework.</p>
<p><b>§ 4 What counts as scholarly publication?</b></p>	<p>Scholarly <u>publications</u> are those publications that increase the body of academic knowledge. They are the result of academic research and are aimed at the forum of peers. The publication shall fulfil the basic requirements of scholarly rigour generally accepted in the relevant field.</p> <p>Scholarly publications are subdivided into:</p> <ul style="list-style-type: none"> <li>- Scholarly journal publications</li> <li>- Authored scholarly books</li> <li>- Editorship of a scholarly edited volume</li> <li>- Contributions to a scholarly edited volume</li> <li>- Scholarly publications by proxy</li> </ul>

	<p>A <u>scholarly journal publication</u> is a scholarly publication in a scholarly journal edited by peers. The editorial policy of the journal shall explicitly include the scholarly study of the area involved. Non-blind journals, single blind journals and double blind (= refereed) journals are considered scholarly for this purpose.</p> <p>An <u>authored scholarly book</u> is a scholarly book authored by the researcher and published by a reputable publishing house. An authored scholarly book counts as one scholarly publication unless the researcher and the program coordinator agree otherwise. The researcher shall seek agreement from the program coordinator in advance of publication. In such case, each 50 pages of content may be counted as one scholarly publication with a maximum of five.</p> <p><u>Editorship of a scholarly edited volume</u> counts as one scholarly publication provided the volume is published by a reputable publishing house, the researcher has obtained agreement from the program coordinator in advance of publication, and the researcher has authored an introductory chapter and/or concluding chapter to the volume.</p> <p>A <u>contribution to a scholarly edited volume</u> is a chapter in a scholarly volume under scholarly editorship of peers. Such a chapter counts as one scholarly publication. The same applies where the researcher is the editor of a volume and (s)he has authored a substantial chapter to this volume next to an introductory chapter and/or concluding chapter to the volume</p> <p><u>Scholarly publication by proxy</u>: three professional publications may be counted <u>once</u> as one scholarly publication. This substitute for a scholarly publication shall not fulfil the requirement of an international scholarly publication.</p>
<p><b>§ 5 What counts as professional publication?</b></p>	<p><u>Professional publications</u> are those publications that disseminate academic research to a professional audience in order to stimulate the application of existing knowledge. For purposes of this framework, the following publications are deemed professional: case notes, book reviews, descriptive digests of current developments, contributions to loose-leafs, statute commentaries, brief observations and generally all publications below 3000 words, and blog entries.</p> <p><u>Blog entries counts as a professional publication if:</u></p> <ol style="list-style-type: none"> <li>1. The overall blog forum should be journal-driven or subject to an independent quality control mechanism that ensures sufficient scientific quality in order to meet the threshold of a professional publication.</li> <li>2. A proposal that a blog forum meets these requirements in the respective field is made by a programme coordinator and subject to approval by the Research Board.</li> <li>3. The specific blog contribution should count a minimum of 1500 words.</li> <li>4. The specific blog contribution should not be a mere summary or replication of an existing output, but should make independent substantive contribution.</li> <li>5. In total, no more than one professional publication may be shown through blog contributions.</li> </ol> <p>Unpublished research reports count as professional publication unless their scholarly status is affirmed by rigorous external review.</p>
<p><b>§ 6 What counts as an international scholarly publication?</b></p>	<p>An <u>international scholarly publication</u> is either a scholarly journal publication, an authored scholarly book or a contribution to a scholarly edited volume in any other language than the Dutch language which convincingly shows that the researcher participates in the relevant international academic discourse.</p>
<p><b>§ 7 Co-authored publications</b></p>	<p>Co-authored publications count as one publication per author under the assumption that each of the authors contributed equally. In case of a co-authored book with author-designated chapters, each chapter authored by the researcher shall count as one scholarly publication with a maximum of five.</p>

Document A on LLS Research Assessment Guidelines

<b>§ 8 Second and subsequent editions</b>	Second and subsequential editions of an authored scholarly book may count as one scholarly publication under the condition that at least 50 pages of the contents have been substantially altered, renewed or redesigned.