Summary Action Plan Transition NWO

Steering Group Transition NWO
Programme office Transition
9 October 2015
Introduction: Commission and scope of the action plan

Dear Colleague,

In April 2015 the new organisation structure for NWO was announced. This model has been developed to facilitate the effectiveness, accessibility and transparency of the organisation as well as stimulating progress in science. The renewed organisation will make it easier to work across disciplinary boundaries. The organisational capabilities of NWO will be strengthened and the links between the Executive Board, the domains and the institutes will be facilitated. NWO will be more approachable for society and at the same time it will remain well embedded in science. In addition, the new organisation model for NWO will mean a better positioning of the Executive Board, a more effective set of governance instruments, and a transition from the current divisions into four powerful domains that work well together. Finally an institutes organisation will be created with a professional management for the institutes that will have closer strategic ties with the domains.

The new organisation model is a major step forwards and clarifies the direction in which NWO wants to go. This model has been determined and approved by NWO’s Governing Board and the Secretary of State for Education, Culture and Science and it has also received the support of many stakeholders. The model is not a blueprint however: it does not yet state exactly what the transition will look like, how quickly it will happen and how this process will be managed. The Steering Group Transition NWO and the Programme office Transition have therefore been set up to realise the step between intention and implementation. The Steering Group has asked the Programme office Transition to develop an Action Plan. You are now reading the summary of this plan.

Premises and structure of the Action Plan

In the Action Plan we detail exactly how we want to approach the transition. Much is known about successful and less successful transitions: a lot of research into this has been done in the Netherlands.

A knowledge organisation like NWO should, of course, take the lessons from elsewhere into account. We have therefore developed the plan based on the following premises:

- **You develop a transition together.** NWO is made up of different organisations and people, who will have to support the transition. All of them have their own specific environment and good practices. The trick is to unlock this knowledge and these good practices within the specified frameworks of the organisation model and to incorporate

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1 In the event of any contradictions or discrepancies between the linguistic versions, the Dutch version prevails.
2 Important questions that remain are: how do we safeguard an optimal interaction between top structure, domains and institutes? How do we stimulate the desired development of the domain organisations and of the institutes organisations? How should the operational management be set up to provide maximum support for the Executive Board, domains and institutes? How will the range of governance instruments be set up? Which legal, personal and financial consequences will various choices have? At which moments will which stakeholders be involved in the governance?
3 At present the Programme office Transition is made up of Jasper Reijnders and Wim van Saarloos. During the development of the Action Plan we were intensively supported by L. Geut, C. Gort and R. Stolk from the advisory bureau Berenschot and in effect we work together as a programme team. In the next phase we will expand the Programme office.
4 More detailed arguments to support the premises given below can be found, for example, in the following Dutch publications: Boonstra (Lopen over Water, 2010), Vermaak (Plezier beleven aan taal vraagstukken, 2014), In’ t Veld (Kennisdemocratie, 2010) and Kokx, Sonnenschein and Wesseling (Bouwen aan samenwerking; lerend arrangeren, 2014).
these in the transition. That means jointly searching, ‘colliding’, elaborating and approving. This premise takes centre stage in the entire transition process.

- **Change along four tracks.** Besides the specific content the transition also concerns the involvement of the organisation, doing justice to existing procedures, and a satisfactory organisational process. In the Action Plan we describe how the transition will take place along four tracks:

1. **Content: what will change?** The content track focuses on the changes in strategy, governance, structure and processes as well as in the operational management. We will describe what the scope of the transition is and what consequences that will have for NWO’s current working practices.

2. **Culture and Communication: how will we work with each other?** The cultural and communication track concentrates on the involvement of the organisation and its employees. We will describe which changes in the culture and identity of the organisation are necessary, how we will work on these together with the organisation, and how we will communicate during the transition process.

3. **Procedure: which rules should we adopt?** The procedural track integrates the legal framework, the legislation and the legal environment that are applicable for the transition. We will describe the legal procedure and how we will deal with the existing distribution of competencies as well as with employee representation.

4. **Process: how will we manage the change?** The process track focuses on the phasing and planning of the transition, and on the design of the programme organisation and workgroups.

- **A transition has different phases.** The implications of the new organisational model are considerable and require decisions to be taken for many different aspects. The experience with transitions teaches that these choices should be made step by step. Before we start filling in the details we will first of all explain what the outlines of the new structure and operational management will be. This means we will ensure a clear phasing of the process and that we will close each phase with decision-making and with advice from employee representation. We explain these phases below.

We have chosen an ambitious plan with the following phases:

1. **Planning phase (until February 2016).** The new organisation model requires a further elaboration of the governance. The most important consequences for the structure, processes and operational management of NWO will also be further elaborated in the form of an integral main design that will be a consolidation of the outcomes from all the workgroups. In the planning phase we will elaborate the plans into concrete proposals that will provide an idea of the expected effects of those choices (in terms of quality, vulnerability and costs). During the planning phase appointment procedures for the most important top positions (Executive Board and directors) will also be initiated. The phase will end with a decision about the integral main design of the new organisation.

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5 That requires discipline because there is often the tendency to talk too quickly about the detailed design, whereas the interpretation of this is still dependent on fundamental choices about the main design.
2. **Design phase (until summer 2016).** In the second phase we will further elaborate the main design into a detailed design that includes the work processes, the positions, the other appointments and formations, and the detailed set of instruments. This phase will also end with an integral decision that will form the starting point for the implementation.

3. **Implementation phase (autumn 2016).** The foundations of the new detailed design from the previous phase will be implemented and, for the organisation units involved, the procedure to place employees in the associated new positions will start. We will then plan the "Grand Départ" on 1 January 2017: the moment at which the new structure will become effective. The design of the institutes organisation is partly linked to this and should be completed in 2019.

4. **Ongoing development phase (2017 - 2018).** The transition will now be further implemented in practice under the leadership of the new boards and directors. Evaluations and improvements will gradually take place. The operational management of the institutes will be integrated and optimised in stages.

The basic premise for the further elaboration and implementation of the transition is ‘business as usual during the refurbishment’. For 2016 this means, for example, that all decisions about and realisation of policy will continue under the responsibility of the Governing Board and the other boards of NWO. Where necessary this will, of course, be in good harmony with the Action Plan for the transition.

**Aim of this summary**

This document is a summary of the Action Plan for the transition that the Steering Group approved at the start of October. In the following chapters the Action Plan is summarised per track and the projects in the planning phase that will emerge from these tracks are described. During the past few months we have worked on the Action Plan with considerable energy and together with you we will build a new NWO along the lines described!

On behalf of the Steering Group Transition and the Programme office Transition,

\[signature\]

Wim van Saarloos
Programme Director Transition
1. Track Content: the change

The NWO umbrella is made up from a rich palette of people and organisations that to varying degrees are linked with each other, scientists and society. There are nine divisions with their own boards, working methods, partners, policy lines, objectives, systems and deadlines. The institutes also form a rich palette of boards, forms of governance, working methods and employer constructions. Within the NWO units more than 2450 ftes are employed in more than 330 job descriptions. About 1590 fte of the personnel consists of technical/scientific employees and the other positions fall under policy, management and support. The NWO umbrella currently has four employers and one collective labour agreement.

The choice for the new organisation model has considerable consequences. This new model requires a radical change of structure. In the current organisation there is a strong distinction between 'centralised' and 'decentralised' and over the years a 'patchwork quilt' structure of relatively independent and sometimes competing units has developed. The aim of the new organisation model and of the transition is to realise a single NWO. An organisation that operates strategically, flexibly and coherently on the basis of unity in diversity, and which has a strong interaction with science and society. An organisation that links the central board, the domains and the institutes and in which we value collaboration and teamwork. In the Action Plan we clarify the scope of the change by formulating objectives for the organisation units involved. We have elaborated the consequences of these along the following lines:

- *The strategy.* The mission, vision and objectives of NWO and the core values from which NWO operates.

- *The governance.* The design of the top structure (Executive Board, Advisory Board, Supervisory Board) and the mechanisms with which NWO governs, supervises and gives accountability.

- *The primary processes and the structure of the organisation.* This concerns the processes that have been designed to take care of the granting process. The set of funding instruments is vital in this respect. With the structure we mean the division of tasks between and within departments, the job positions and staff formation, the authority to take decisions and the coordination mechanisms.

- *The operational management and support processes.* With this we mean the processes, the systems, the instruments and administrations that are needed to support NWO.

1.1 Strategy

With the new organisation model we want to increase the organisational capability of NWO, which in future must be able to tackle concrete challenges in a flexible, coherent and strategic manner. The model should make NWO more accessible for society and more strongly embedded in science. The ambition is also that in the future, NWO will continue to be a vital, connecting and authoritative factor in the world of science. Furthermore it must be easier to work across the disciplinary boundaries. This has also been established in the new NWO strategy 2015- 2018. For the transition the trick is to translate these ambitions into core values of NWO that will be anchored in the objectives and in the working methods within the organisation.
1.2 Governance

The new organisation model requires considerable changes in the governance. These changes will take the following form:

- **The top structure.** To make the relationships between the Governing Board, the directors and the various units clearer, it has been decided to establish an Executive Board in the organisation model that will function according to the principle of collegial management. The Executive Board is connected with the domains and institutes via portfolio holders. These portfolio holders each chair a domain board and together with the chair and Chief Financial Officer/Chief Operations Officer (CFO/COO) they form the board of the institutes foundation. There will be a new Advisory Board and Supervisory Board. The new model will have four domains, each of which will have its own board and director. In addition, there will be a director for the new institutes organisation who will serve both the institutes and the Executive Board. The domain directors together with the director of the institutes organisation and the CFO/COO will function as a collegial team. These changes to the top structure will require an amendment to the NWO Act as well as the appointment of new boards and directors. These changes also mean that we will take leave of (some of) the current boards. In order to realise a Grand Départ on 1 January 2017, the Ministry of Education, Culture and Science will start the appointment procedures with us for the president of the Executive Board, the CFO/COO, the chairs of the domains and the new directors towards the end of this year. The aim is to announce the appointment of all the Executive Board members and the new directors before the summer of 2016 with the intention that the president of the Executive Board, CFO/COO and directors will be available in the autumn of 2016 to play an important role in the transition and the implementation. The Executive Board will not formally take up its duties until 1 January 2017. Up until that time the current Governing Board, divisional boards and directors will continue to be responsible for the organisation.

- **The legal structure.** The new organisation model requires changes to the legal structure of the NWO umbrella. The tasks of the current foundations within the granting part (FOM, STW, WOTRO) will be integrated in the new domains. In addition, a new institutes foundation will be established in which the operational management of the institutes will be gradually integrated (with due consideration to the competencies and mandates of the institutes). The first step in the process will be the division of the current FOM Foundation into a granting part within the Mathematical and Natural Sciences domain and an institute part that will be integrated into the new institutes organisation. Further integration will proceed gradually according to a timetable that will run until 2019.

- **The mechanisms for governance, supervision, accountability and information.** Governing the desired developments within the domains and institutes requires a good provision of information. This must offer the entire organisation insight into the financial and other performance indicators of the various units. Furthermore, in the forthcoming period we will develop a set of governance instruments for mechanisms of rules, finances and dialogue. On the one hand this set of instruments will give the Executive Board the possibility to direct the objectives and the development of the organisation units. On the other hand it will provide the domains and institutes with the necessary authority and transparency. The set of governance instruments will be elaborated in the forthcoming period. It will require a very small change to the current NWO regulation and the
competencies regulation, which the Minister for Education, Culture and Science must approve. In addition we will modify the current planning and control cycle and we will make agreements about how we can realise greater collaboration across units.

1.3 Funding instruments and organisation primary processes

During the transition NWO will develop a clear basic palette of generic instruments. This will facilitate the accessibility of NWO as well as coherency for researchers. The merging of divisions into domains also requires the necessary harmonisation. In the autumn of 2015 the elaboration of the generic instruments in the domains will start already, so that clarity about this can be created quickly. Changes in the set of instruments will only become effective with the Grand Départ in 2017. Any changes to the set of instruments and the submission possibilities will of course be communicated with scientists in good time so that they can respond to these.

We are working on a refining of the set of instruments along the following lines:

- Scientific quality is the primary criterion. The set of instruments facilitates the work across disciplinary and domain boundaries. Top research in scientific disciplines may clearly not be put at risk but at the same time there will be the opportunity to respond to the diversity of scientific disciplines.

- The basic palette of generic funding instruments will serve all of the domains. The domains are free to realise their own emphases within this palette; opportunities for domain-specific instruments will also remain.

- The Executive Board will establish objectives for the domains with respect to thematic collaboration and co-funding in public-private partnerships, for example, by objectives for contributions to cross-domain programmes. These NWO programmes will fall under the direct auspices of the Executive Board. The Advisory Board will advise about this.

- For each domain there will be one form and procedure per instrument (for which the assessment criteria can differ per domain). There will be an integral administration for the programmes.

With the new elaborated model NWO will be able to serve the entire spectrum from individual researchers and scientific disciplines to large consortiums of scientists, civil society organisations and companies.

An inherent aspect of the organisation model is the choice for a change to the NWO structure and the merging of the divisions into domains. For the organisation of the domains and institutes we will work along the following lines:

- **Support of the Executive Board:** there will be a small office to support the Executive Board. This office will be closely connected with the institutes and domains. The head of the supporting office will act as the secretary to the Executive Board. NWO-wide dossiers will be embedded in this supporting office, which will mainly play a harmonising and coordinating role with respect to these themes. The realisation of tasks will be strongly connected with the expertise in domains, via teams.
**Organisation domains.** There will be four powerful domains with scientists at the helm that are focused on collaboration. The boards will set priorities, programme and allocate the funding. The mechanisms for this will be harmonised as much as possible. The organisation of the domains will be 'flat', with the flexible deployment of employees and a limited hierarchal structure. Each domain will have a well-functioning scientific advice structure. The government ministries concerned are expected to decide in the near future how ZonMw will be integrated in the NWO organisation.

**Institutes organisation.** The institutes have an independent position in the scientific landscape. That was the case and it will continue to be the case. The connection with the domains and other institutes currently differs per institute. To realize a common approach the institute directors will be directly accountable to the Executive Board. Separate institute foundations with their own boards will cease to exist. To encourage the connection between institutes and between institutes and the Executive Board, and to realise better support in the operational management, a separate institutes organisation will be established directly under the Executive Board. This organisation will support the institutes, and employ the personnel of the institutes. The supporting institutes organisation will have a connecting and serving role towards both the institutes and the Executive Board but it will not have a budget allocating function with respect to the institutes. Finally the institutes organisation will be responsible for the core financial and personnel tasks for all institutes and this will of course happen in collaboration with the financial and personnel staff at each of the institutes. During the planning phase, together with the institutes we will elaborate the package of services with which the institutes organisation will support the institutes in the operational and financial functions. The director of the institutes organisation will also report to the Executive Board and will not be in a hierarchal position above the institute directors.

With this approach the institutes will continue to be strong units with their own budgets and a broad mandate. For the institutes the change means partly a transfer of some support tasks to the institutes organisation and partly an improvement in the existing support. At the office level the formation of an institutes organisation means, in particular, an integration of the institutes cluster of NWO Policy Development and Support (BOO) with parts of the FOM office. The joint setting up of a strong institutes organisation with a good set of governance instruments (rules, funding, dialogue) between the Executive Board and the institutes will require a clear effort.

### 1.4 Operational management and support processes

The transition provides the chance to professionalise the supporting organisation. The operational management and staff departments of NWO belong to the portfolio of the CFO/COO. These departments will work in a more flexible and client-focused manner for the primary process in the domains. Available ICT and the new ISAAC submission system should provide support for this. An important aspect is that, in principle, there will be a single financial system that provides an integral overview.

With the directions chosen little will change for the technical/scientific personnel at the institutes. For the employees in policy, supporting and management roles the changes will be considerable. The lines chosen mean that the work processes will have to be redesigned. For some employees there will be consequences for the job position and work location. We intend to realise this change along the following lines:
• **Optimisation of the organisation and its effectiveness are the priorities.** Where capacity becomes available due to increased efficiency we will identify where this capacity can be deployed in future within the organisation to increase *quality* and reduce *vulnerability*.

• **In the context of the transition jobs will be guaranteed up to and including 2018.** The premise for the current personnel is that for the next three years the job of every person who is prepared to use his or her talents in a suitable position within (or possibly outside of) the new organisation will be guaranteed. We expect to be able to achieve this objective by responding to the increased set of tasks that NWO has and to the desire to strengthen NWO’s organising and ‘matchmaking’ capabilities as well as its international presence. In addition we expect, as is usually the case in such situations, some natural staff turnover in the ongoing development phase. We will outline the possibilities for reducing costs in the longer term; it will be up to the future domain directors and Executive Board to take decisions about this.

• **The new NWO office organisation will have two fully-fledged locations.** One will be in The Hague and one in Utrecht, where the domain organisation and the supporting institutes organisation will be accommodated. Both locations will be ‘our premises’ for NWO. We will make efforts to realise a strong interconnectedness of the locations in The Hague and Utrecht. We are therefore looking for a new NWO location in Utrecht with an open and accessible character that will facilitate the culture and approach of the entire NWO organisation at a natural and centrally located address where gatherings and meetings of committees, panels, boards and teams can be held. The Utrecht units of NWO will eventually be located at that address.

• **Working according to the 70/30 principle.** We propose that employees of the office organisation (supporting staff, domain and institutes organisations) will primarily be employed by NWO with a *main task* within a certain unit. We will encourage working in a broader context by striving in the new NWO for most employees to spend roughly 30% of their time working in cross-unit projects or teams.

• **Other ways of working.** Within NWO there will be more room for mobility, more opportunities for talent, and more attention for working on projects and in teams.

• **From four formal employers to two.** Due to the legal changes, employees of the domains will in future be formally employed by the NWO independent governing body and employees of the institutes by the future institutes foundation. Employees of NWO currently fall under the civil service law, whereas employees of FOM and some institutes fall under private employment law. In the autumn the Dutch Senate will vote about a bill to make the civil service status the same as the rules that apply in private law. This means that eventually the position of all NWO employees will be made the same. We have therefore chosen to adjust the status of the employees in accordance with the date of the amendment to the law concerning civil servant status.

• **A single job description book.** An organisation with a flexible deployment of staff requires an unequivocal description of job positions. This means that we will harmonise the current job positions (± 330) and that we will convert the current positions of employees into a new job description book.
• **Financing and budgets.** The changes to the structure also mean changes in the flow of funds, especially due to the integration of the current divisions into the new domains. The budgets for the units will essentially remain the same during the transition period and will be transferred in the case of mergers and changes.

1.5 Projects needed for the track content

For a successful transition it is vital that the content lines are elaborated together with the organisation units. The Programme office Transition will therefore set up several workgroups in the planning phase. In these workgroups, colleagues from the various organisation units will work together with us to elaborate these lines into a main design for the new organisation. During this process we will course remain in close dialogue with the boards and directors of the organisation units.

<table>
<thead>
<tr>
<th>Workgroups governance</th>
<th>Task planning phase (until February 2016)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Governance</td>
<td>Define governance of new NWO organisation with division of roles boards and directors, strategic positioning NWO, desired management culture and associated set of governance instruments. Working method Advisory Board.</td>
</tr>
<tr>
<td>Workgroups structure and primary processes</td>
<td></td>
</tr>
<tr>
<td>Cross-domain structure</td>
<td>Produce main design for the cross-domain tasks within NWO that include, for example:</td>
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<tr>
<td></td>
<td>• Support Executive Board</td>
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<td></td>
<td>• Operational management granting independent governing body</td>
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<td></td>
<td>• Cross-domain processes and programmes such as top sectors</td>
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<tr>
<td></td>
<td>• Embed and position temporary taskforces (NIHC, NRPO-SIA, NRO) and WOTRO</td>
</tr>
<tr>
<td></td>
<td>• Valorisation NWO-wide in relation to the domains</td>
</tr>
<tr>
<td>- Mathematics and Natural Sciences Domain</td>
<td>Overview of core processes and of the most important questions for harmonisation Cross-domain processes and programmes (in agreement with workgroup above)</td>
</tr>
<tr>
<td>- Technical and Applied Sciences Domain</td>
<td>Design main structure for domain with composition board, funding instruments and associated processes, advice structure and internal clustering</td>
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<tr>
<td>- Social Sciences and Humanities Domain</td>
<td></td>
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<tr>
<td>- ZonMw Domain</td>
<td></td>
</tr>
<tr>
<td>Institutes organisation</td>
<td>Produce service-providing model and a main design for the tasks, main processes and internal structure of the new institutes organisation.</td>
</tr>
<tr>
<td>Job positions and personnel</td>
<td>Make integrated job description book for the new NWO organisation. All positions are included in the job description book. Itemise the current employment condition packages and make a plan for the streamlining of these.</td>
</tr>
<tr>
<td>Workgroups operational management</td>
<td>Task planning phase (until February 2016)</td>
</tr>
<tr>
<td>Operational management</td>
<td>Compile functional requirements for operational management (finances, ICT, support services and P&amp;O) of integrated NWO organisation in 2017, and produce an integration plan for the operational management and administrations (financial, salary and personnel) based on an inventory of the current units</td>
</tr>
<tr>
<td>Utrecht</td>
<td>Draw up a business case and plan for the relocation of the NWO units in Utrecht to a new location in Utrecht.</td>
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2. Track Culture and Communication: working methods

The desired transition of NWO will only be successful if in addition to the development of the new structure we devote attention to the identity and internal working methods.

2.1 Culture NWO: Working methods

The new organisation model assumes that there will be a single NWO and transparency and collaboration will be standard practices within this. Changes in culture and identity require that the desired changes are connected with the regular work. We will therefore direct the organisational change at:

- the willingness to collaborate and in many cases the mobility of employees within the organisations,
- strengthening of the skills needed for project-based working,
- leadership development, and
- working within those teams that cross the traditional organisation units

In the planning phase we will start with a broad examination of the core values. After all if the transition is to be successful then everybody needs to experience and recognise these core values. We will subsequently explore the objectives and core values of NWO in greater detail via a participatory trajectory with employees, scientists and society. The starting point for this trajectory is the NWO strategy 2015-2018 and the transition agenda.

2.2 involvement of the organisation in the transition

The transition is a joint effort by and for all NWO employees. Whoever wants to contribute to the realisation of the transition should have the opportunity to do so. This means that the Programme office Transition must have the mechanisms to listen, to learn and to inform. We will therefore deploy at least the following activities:

- General communication. As soon as the planning phase starts, the programme organisation, i.e. everybody who contributes to the transition, will convey the image of a single NWO: with a shared culture and working methods and with room for the diversity of the scientific disciplines. The communication style will be interactive, open, accessible, up to date and transparent.

- Broad participation moments with a focus on getting to know each other better. During broad participation moments there will, in addition to the specific contribution of the employees, be a focus on the units getting to know each other better.

- Participation of all units in the workgroups. Together with the organisations the Programme office Transition will further elaborate what the NWO units have developed already. We are counting on the enthusiasm of NWO's employees in the workgroups.

As the process proceeds and the new boards are appointed the intensity of the communication will increase. We will celebrate the Grand Départ with a festive moment. This is also when the
external communication will be expanded with, for example, the launch of a new website and with a improved house style for the new NWO. We will develop a separate communication plan for this.

### 2.3 Projects needed for the track culture and communication

Within this track we will set up the following workgroups during the transition:

<table>
<thead>
<tr>
<th>Workgroups culture and communication</th>
<th>Task planning phase (until February 2016)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identity and culture</td>
<td>Assume responsibility for a further exploration of the core values and objectives. For example, a core values discussion will be initiated, a story of change developed and an ambassadors group deployed.</td>
</tr>
<tr>
<td>Communication</td>
<td>Draw up an internal and an external communication plan for the transition. Assume responsibility for the realisation of this.</td>
</tr>
</tbody>
</table>
3. Track Procedure: rules and participation

The organisation model chosen has considerable consequences for the strategy, governance, structure, primary processes and operational management. Intended changes also affect the existing legal structure of the organisation, the existing allocation of competencies and the position of employees.

3.1 Legal structure and relevant legislation

The starting point is to organise the entire domain organisation within the NWO independent governing body and to organise the institutes within a new separate institutes foundation. The step-by-step development of the institutes organisation is expected to take three to four years.

With the new organisation model there will be an Supervisory Board and an Executive Board. Four members of the Executive Board will also be chairs of the domain boards. This requires an amendment to the NWO Act and changes in the legal structure of the organisation units. We will develop this along the following lines:

- **Amendment NWO Act.** The legal analysis has revealed that only minor amendments are needed to the NWO Act. The Ministry of Education, Culture and Science will implement these amendments. That will take at least one year to complete.

- **Institutes foundation.** A new foundation for the institutes will be established. The operational management of the institutes will be consolidated in a supporting organisation that is part of the foundation. The aim is to include all existing institute foundations in this new foundation by 2019 at the latest. An exception to this is the FOM Foundation. This will merge with the new institutes foundation on 1 January 2017 after the granting part of FOM has been split off. The intention is that the institutes foundation will receive charitable status straightaway. This will make the merger with the current foundations easier and it also has fiscal advantages.

- **Legal structure granting.** The various granting activities of the foundations STW, WOTRO and FOM will be integrated within the domain organisation of NWO with effect from 1 January 2017.

- **Legal structure and foundations.** The legal integration requires a due diligence investigation into the financial management, contracts and other obligations of all foundations in the NWO umbrella. Based on this we will draw up a detailed plan with the institutes and foundations during the planning phase for the realisation.

3.2 Competencies

The analysis of the statutes reveals that the NWO units have the competency to take the necessary decisions for several changes that the transition intends to realise. That is especially the case for the boards of the foundations. Changes that affect specific competencies require that after the proposed decision has been taken in the Steering Group, a decision also needs to be taken within the organisation unit affected. The same applies for decisions about changes to the organisations for which the works councils (employee representation) have the right to give advice. A final decision can only be taken after advice has been obtained or the board involved has ratified the decision of the Steering Group.
3.3 Employee representation (works councils)

We will involve the works councils intensively and at an early stage. NWO currently has several organisations with a works council, namely NWO, FOM, CWI and NIOZ. In transitions where several organisations are involved, it is useful for all parties concerned to set up a temporary works council for issues that involve all of the organisations. We hope that during the transition process, as the mutual trust grows, a temporary works council will be shaped with specific competencies focused on the transition. Consultations about this have started with the workgroup NWO employee consultation from the works councils.

In the autumn of 2016, the new Executive Board will talk with the works councils about the setting up of employee representation in the new integrated organisation. At present we foresee two employee representation structures, namely one for the domain organisation (NWO independent governing body) and one for the new institutes organisation. This does not preclude the continuation of employee representation at the institute level.

If the changes require this we will also consult the employers organisations. We will inform them about the forthcoming changes in good time.

3.4 Projects needed for the track procedure

To achieve the desired results in the procedural track we will set up the following workgroups:

<table>
<thead>
<tr>
<th>Legal workgroups</th>
<th>Task planning phase (until February 2016)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amendment NWO Act</td>
<td>The amendment will take place at the initiative of the Ministry of Education, Culture and Science. The workgroup will follow the progress and support the process where needed.</td>
</tr>
<tr>
<td>Legal structure</td>
<td>Make a proposal for the governance and for the statutes of the new institutes foundation, taking responsibility for due diligence of the current foundations and supporting the administrative process of transferring activities to foundations for at least FOM and STW. Furthermore, this workgroup is responsible for producing a plan for the integration of the other institute foundations based on an inventory made together with the institutes.</td>
</tr>
<tr>
<td>Splitting FOM</td>
<td>Make a proposal for the splitting of tasks and the integration of FOM in NWO and the new institutes foundation.</td>
</tr>
<tr>
<td>Integration STW</td>
<td>Make a proposal for the (legal) integration of STW in NWO.</td>
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</tbody>
</table>

4. Track Process: the organisation of the transition

The transition's objectives cover a considerable scope and ambition. A careful execution of the process is therefore essential.

4.1 Phasing of transition and activities to be carried out

In the transition process we are working towards a Grand Départ on 1 January 2017, according to the phasing described in the introduction to this summary. From 1 January 2017 onwards the organisation will work in the new form. This means that the new Executive Board will start its activities and that NWO will work in the new domain structure with a more integrated operational management.

The official transition to the new organisation model has been set for the Grand Départ. However, with respect to the operational management, provision of advice, employee representation, current calls and programmes that stretch across the end of the year, the transfer of tasks of the foundations STW, FOM and WOTRO, etcetera, the willingness to provide tailor-made processes, ‘look for solutions together’ and ‘reasonably to act as if’ will be necessary. During the design and implementation phase we will monitor what is needed and what is feasible (in consultation with those involved and the works councils) and we will discuss this with the Steering Group.

In the period after the Grand Départ we will continue to work on the further implementation.

4.2 Programme organisation

Many organisations fall under the NWO umbrella and these operate in different (scientific) contexts. From the perspective of these contexts and with a view to serving their own disciplines, these organisations have developed their own structures, mechanisms and working methods. NWO wants to operate more as a single organisation. This means that a part of the existing structures, mechanisms and working methods will change. However what is good should not be thrown overboard. For the subjects that fall within the scope of the transition, we want to identify the good practices of organisations, remove the context factors from these practices, and incorporate the underlying principles in general changes. We will ensure that sufficient space remains for tailored approaches. For this it is vital that the Programme office Transition works together with the organisation on the transition.

Yet it is also true that the transition is a sensitive issue in certain aspects, especially where this affects the existing autonomy. It can therefore be expected that the elaboration of the organisational model will lead to intensive discussions and differences of opinion. Consequently it is vital that we work with those involved on a shared orientation about the anatomy of relevant issues and the directions in which sensible solutions can be found. That requires good and clear relationships and discipline in how conflicts are resolved. Clarity is therefore needed about competencies and the rules for handling these situations so that such rules do not need to be developed as we go along. We will adopt the following principles:

- **Actors involved.** The Programme Organisation Transition consists of the Steering Group, the Programme office, workgroups, feedback groups of divisional directors and institute directors, external stakeholders such as scientists, universities, companies and
government ministries as well as the employees of the organisation, including the employee representation.

- **Relationships.** It is important that the relationship between these actors is clear. The director of the Programme office Transition is responsible for making proposals for the Steering Group. He has the mandate to set up and direct a project organisation for this purpose. The director of the Programme office is responsible for ensuring sufficient dialogue with the internal and external stakeholders. The Steering Group Transition is responsible for the transition, monitors the main lines of the transition and ensures, where necessary, that the decision-making takes place in dialogue with the organisation units involved and with stakeholders. The Governing Board (which in its entirety is part of the Steering Group) formally ratifies the Steering Group's decisions. Published Steering Group decisions therefore have the status of a decision of the Governing Board.

- **Mechanisms for decision-making and resolving conflicts.** In view of the many interests and opinions there needs to be a clear structure so that everyone involved knows how decisions are made:

  - *Provision of input from the organisation.* The Programme office Transition wants to learn from good practices in the organisation and aims to realise a shared view among the stakeholders about relevant issues and the directions in which solutions can be found. This does not exclude the fact that opinions can be diverse, dissatisfaction can surface and concerns will arise. Where differences of opinion arise, we propose that these will first of all be discussed with the Programme office or within the Steering Group. The Programme office will subsequently present a proposal about how to deal with this.

  - *Communication.* Communication about the change process will always be issued by the Programme office or in consultation with it.

**4.3 Programme office and workgroups**

The Programme office consists of a programme director (Wim van Saarloos) and a programme manager, who is responsible for the project management (Jasper Reijinders). They are supported by a team made up of transition advisers (content and process experts) and support staff (day-to-day support on a content and project basis). The projects are realised by workgroups. Each workgroup has an internal project leader, who is responsible for the progress and results of the project concerned. Workgroups assess the interim results with relevant parties from the current organisation. At the start the workgroups receive a clear commission from the Steering Group. Eventually the outcomes of all workgroups will be compiled into the integral design for the new organisation. Where necessary the workgroups are supported by (external) subject experts. In the coming period we will recruit the workgroup members.

During the recruitment we will try to strike a balance between a reflection of the organisation and the size of the workgroup. It is therefore important that workgroup members think from the perspective of the entire NWO organisation and not merely represent the interest of their own particular unit. Within the workgroups we want to create space for smart, enthusiastic (young) employees and safeguard the balance by ensuring the input of specific experience and expertise from the existing organisation.