

**Tenure Track memo for the Faculty of Behavioural and
Social Sciences:**

Procedures and criteria

7 June 2010

Foreword

The career planning policy of the Faculty of Behavioural and Social Sciences was changed drastically in 2007 after the introduction of tenure track appointments for new personnel and the possibility for existing personnel to join the tenure track system. Key to the tenure track system is that promotion to a higher position is not dependent on the staffing needs for such positions but on the performance level of the academic staff member, ascertained after a careful and extensive promotion procedure. Another essential new aspect is that the position of assistant professor (UD) is now offered to new personnel as a temporary position, and that a choice is made at the appraisal moment after no more than 6 years between promotion to associate professor (UHD) or termination of the employment contract. Thanks to these elements, the tenure track system is designed to attract, keep and stimulate talented academics, on condition that they also prove themselves. This career planning policy is expected to result in more highly qualified personnel on average. The costs of this higher quality personnel should be earned back through the greater fundraising talents of the personnel and/or a more efficient way of working with and implementing personnel. To this end, the assessment criteria are therefore partly directed towards fundraising abilities. The tenure track policy only applies to the academic positions of assistant professor, associate professor and full professor, with a clear distinction between teaching and research duties. The other academic positions – PhD student, researcher and lecturer (*docent*) – are not included in the policy. This memorandum sets out the procedures and criteria for entering and being promoted within the tenure track system.

On behalf of the Faculty Board,

Prof. H.A.L. Kiers, Dean

Most important changes

This section sets out the most important changes to the Faculty careers policy for academic personnel as approved by the Board of the University on 1 May 2007.

- The memorandum has been completely re-edited. The general personnel policy is no longer included in the memorandum, which limits itself to the tenure track system. An attempt has also been made to be as succinct as possible, thus avoiding possible repetition.
- With regard to the academic positions of assistant professor (UD), associate professor (UHD), associate professors with the *ius promovendi* (*adjunct-hoogleraar*) and full professors, the classification criteria from the UFO job profiles, the related competences and the Faculty-wide criteria have been amalgamated to reduce repetition. These criteria apply to current and new personnel and form the starting point for appraisal and promotion within the framework of the tenure track career planning policy.
- The starting point for promotion is that all the criteria must have been satisfied. However, there are also situations where compensation should be possible. The procedure to be followed in such situations is set out on p.14. This has changed in comparison with earlier policy. The aim with this approach is to do better justice to situations where, based on good academic grounds, personnel place different emphasis on their work and output than that on which the criteria are based. In all cases, however, the general level of performance must be at the level of what is set out in the criteria.
- Promotions from assistant professor level 2 (UD2) to assistant professor level 1 (UD1) will be the responsibility of a departmental Promotion Committee (BC). All other promotions will be dealt with by a Faculty Promotion Committee (FBC). The departmental BC will be installed by the Faculty Board (FB) when it is time to hold an appraisal. Every year, in autumn, the FBC will invite staff to apply for promotion or arrange an appraisal interview for them when it is time.
- Academic personnel who were appointed with tenure after 1 January 2010 at the Faculty as lecturer, assistant professor, associate professor, adjunct-hoogleraar or full professor but do not yet have a Basic Teaching Qualification (BKO), must gain a BKO. Staff who had tenure before 1 January 2010 may apply for a BKO, or follow a supplementary BKO programme if necessary, after discussion with their supervisor. From 1 September 2012, holding a BKO will be a condition for all promotions of academic personnel within and outside the tenure track system.
- As far as possible, the promotion procedure has not been set out in prescribed time periods, even though guidelines are given (the norm is 3 years in a position); only temporary appointments have a prescribed time period – within six months of the end of the appointment, and with regard to an adjunct-hoogleraar, promotion must be requested within a term of no more than 6.5 years and may only be requested once.
- *Changes to criteria:* The teaching requirements have now been quantified in a way that matches how they have been interpreted thus far. Some criteria have been removed or amalgamated. One addition is that, partly with an eye to the developments in national research assessments, a societal impact contribution is now also taken into account. One of the criteria for promotion to full professor 1 has been eased – in the 10 years preceding the promotion, the candidate must now have supervised 8 PhD students as main supervisor throughout the PhD process. In addition, under grant acquisition is stated that funds must at least partly have been acquired in the previous five years, and the number of acquired funds with regard to promotion to adjunct-hoogleraar has been increased to two. The increased difficulties have been marked with a footnote referring to the

Transitional arrangements

The criteria with a footnote stating ‘Transitional arrangements apply, see p.3’ will apply from 2012 to current personnel. The new criteria will apply to newly appointed tenure track staff from the start of their appointment.

Table of Contents

1	Personnel Policy Principles	6
2	Career paths under the tenure track system	7
2.1	Appointments to assistant professor level 2 (UD2), assistant professor level 1 (UD1), associate professor level 2 (UHD2) or associate professor level 1 (UHD1) via external open recruitment	8
2.2	Promotion to assistant professor level 1 (UD1), associate professor level 2 (UHD2), associate professor with <i>ius promovendi</i> (adjunct-hoogleraar), full professor 1, full professor 2	11
3	Criteria for appointing an assistant professor level 2 (UD2) and for promotion to assistant professor level 1 (UD1), associate professor level 2 (UHD2), associate professor with <i>ius promovendi</i> (adjunct-hoogleraar), full professor 2 and full professor 1	14
3.1	Criteria for assistant professor level 2 (UD2)	16
3.2	Criteria for promotion to assistant professor level 1 (UD1)	17
3.3	Criteria for promotion to associate professor level 2 (UHD2)	18
3.4	Criteria for promotion to associate professor with <i>ius promovendi</i> (adjunct-hoogleraar)	20
3.5	Criteria for promotion to full professor 2	22
3.6	Criteria for promotion to full professor 1	24
Appendix 1	List of definitions	26
Appendix 2	Table <i>Summary of the Requirements and Criteria...</i>	27

1 Personnel Policy Principles

The main aim of the Faculty is to provide and conduct high-quality academic teaching and research. The Faculty aims to deliver high quality in its teaching as well as its research, based on all aspects of the discipline. In order to stimulate its personnel, and reward them accordingly, a policy has been implemented with the following principles:

1. Flexible tenure track system

The tenure track system that has been designed is similar to those in place elsewhere in the University of Groningen. New personnel have a period of up to 6 years to prove that they are suitable for tenured appointment to the position of associate professor (UHD), and current personnel with tenure have the opportunity to progress if they satisfy the relevant criteria.

2. Making performance transparent, linked to measures for career guidance

In order to enable personal performance to be quantified, the relevant job profiles within the framework of UFO (University Job Ranking), the related competences as well as the Faculty-wide criteria will be the starting point for the assessment of both new and current personnel. The direct supervisor will be expected to contribute significantly as coach, supervisor and assessor.

3. Support for professionalization

Acquiring teaching skills and compliance with established teaching criteria at the various job levels will take on greater importance as an individual's academic career progresses. The introduction of the Basic Teaching Qualification (BKO) for all academic positions is an important step in the careers policy and personnel policy. Academics will also be encouraged to follow training courses, for example in the field of management skills.

4. Mixture of duties

The academic staff positions of assistant professor, associate professor, associate professor with *ius promovendi* (adjunct-hoogleraar) and full professor primarily involve research, teaching and management. This division of positions and tasks must ensure that in particular the link between research and teaching is guaranteed at content and policy levels. The tenure track system only applies to these positions.

2 Career paths under the tenure track system

This chapter will set out the procedures to be followed when appraising and promoting staff within the framework of the tenure track career system. It will also explain how the relevant committees that advise the Faculty Board are appointed. An Appointment Advisory Committee (BAC) is set up for external open recruitment followed by selection and recommendation. A Promotion Committee (BC) is asked to advise the Faculty Board in the event of promotion of academic personnel to full professor or associate professor with *ius promovendi* (adjunct-hoogleraar). Promotions from assistant professor level 2 (UD2) to assistant professor level 1 (UD1) will be the responsibility of a departmental Promotion Committee (BC). Promotions from associate professor level 2 (UHD2) to adjunct-hoogleraar, from adjunct-hoogleraar to full professor level 2, and from full professor 2 to full professor 1 will be dealt with by the Faculty Promotion Committee (FBC). In these cases the committee will be expanded by a programme director and/or a research director, and an external expert. The departmental BC will be installed by the Faculty Board (FB) when it is time to decide on a promotion. The FBC will meet once a year (in the autumn) and when it is time to consider a promotion.

The table below sets out the promotion procedure for each position. It also includes the consequences for a tenured position, which will apply in most cases. However, if other agreements are set out in the appointment letter, then they will apply.

Promotion	Intended scale	Advisory body	Procedure
UD2 → UD1	12	BC	After a positive assessment and the approval of the FB, the assistant professor level 2 (UD2) will be promoted to assistant professor level 1 (UD1). If the appointment is temporary, this will be extended by 3 years (if this still fits within the maximum term of 6 years for academic personnel (WP) and has been extended no more than twice). If the staff member does not satisfy the criteria for UD1, then the contract, if a temporary one, will expire as intended and he/she will be assisted via an outplacement scheme in finding a job outside the University of Groningen.
UD1 → UHD2	13	FBC	After a positive assessment and the approval of the FB, tenure as an associate professor (UHD2) follows. If the staff member does not satisfy the criteria for UHD2, then the contract, if a temporary one, will expire as intended and he/she will be assisted via an outplacement scheme in finding a job outside the University of Groningen.
UHD2 → Adj.hgl.	14	FBC	After a positive assessment and the approval of the FB, the procedure for promotion to adjunct-hoogleraar will start.
UHD1 → Adj.hgl	14	FBC	After a positive assessment and the approval of the FB, the procedure for promotion to adjunct-hoogleraar will start.
Adj.hgl → Full prof.2	H2	FBC	After a positive assessment and the approval of the FB, the procedure for promotion to full professor 2 will start. If the staff member does not manage to be promoted to full professor 2 within 7 years, he/she shall retain the <i>ius promovendi</i> for current PhD students for a maximum of 5 years, after which he/she shall return to associate professor level 1 (UHD1) without the <i>ius promovendi</i> .
Full prof.2 → Full prof.1	H1	Ad hoc BC	Assessment by a BC installed by the FB as soon as promotion is appropriate. After a positive assessment and the approval of the FB, the procedure for promotion to full professor 1 will start.

- Every year in early autumn, there will be an opportunity to apply for promotion. With regard to temporary appointments, it is essential that appraisal or promotion takes place *no less than 6 months before the contract expires*. If no promotion has taken place before that time, then a promotion procedure for that staff member will automatically commence around

that date. With regard to promotion to the next level, experience and job performance at the current level over the previous three years will be taken as the norm. Outstanding job performance may result in promotion in less than 3 years; on the other hand a longer period is also possible if necessary, except in the case of a temporary appointment. With regard to promotion from adjunct-hoogleraar to full professor 2, the associate professor may choose the appraisal moment within a maximum period of 6.5 years after appointment. If the promotion is turned down, it is still possible to apply again for promotion at a later phase, except if the unsuccessful promotion was from adjunct-hoogleraar to full professor – in that case, in line with the University of Groningen regulations for adjunct-hoogleraren there is only one appraisal moment.

As the position of adjunct-hoogleraar is not one of the job positions included in the UFO, it is considered to be the equivalent of an associate professor level 1 (UHD1) who is granted the *ius promovendi* (the right to act as the professor of record) by the Board of the University for no more than 7 years. If promotion to full professor 2 does not take place within this period, the appointment reverts to associate professor 1 (UHD1), but retaining the *ius promovendi* for current PhD students for a further 5 years. Positions at the level of adjunct-hoogleraar are only filled via promotion from associate professor level 1 or level 2 (UHD1 or UHD2).

2.1 Appointments to assistant professor level 2 (UD2), assistant professor level 1 (UD1), associate professor level 2 (UHD2) or associate professor level 1 (UHD1) via external open recruitment

Jobs at the level of assistant professor level 2 (UD2) are filled via external open recruitment.

1. Composition of the committee
 - The BAC shall be installed by the Faculty Board and shall have a maximum of seven members, of whom, in principle, two shall be women.
 - In general, the following are members of the BAC:
 - Director of Studies and/or Research Director, and/or professor outside the relevant subdiscipline
 - Expert from the same discipline
 - Future direct supervisor
 - Student
 - A HR advisor functions as an advisor to the BAC.
2. FB approval
 - The BAC submits the job description and draft advertisement to the FB
 - After approval by the FB, the recruitment procedure may begin. Candidates shall be recruited by means of an open procedure
3. BAC selection
 - The BAC will draw up a shortlist of the most suitable candidates – bearing in mind the UFO and Faculty criteria – and invite these to an interview and to give a presentation to the committee.
 - The candidates will be asked to prepare a research proposal to present during the selection interview, outlining a vision for the future (1 - 2 pages).

4. Nomination to FB

- The BAC shall submit a nomination to the FB based on the candidate's CV, research proposal, references, a public lecture and an interview with the BAC.

5. Appointment

- If the FB adopts the BAC nomination, the candidate will be temporarily appointed for a term of up to 3 years (depending on experience), with written agreements being made about the tenure track system, the research, the teaching and the appraisal moments, and set out in the appointment letter.
- The appraisal moment for promotion to assistant professor level 1 (UD1) will take place six months before the employment contract expires.

Appointment of an assistant professor level 1 (UD1) via external open recruitment

Positions at the level of assistant professor level 1 (UD1) can also be filled via external open recruitment. The same procedure as set out for recruitment for assistant professor level 2 (UD2) will be followed. Appointments are temporary, with as guiding principle a period of three years. The appraisal moment for promotion to a tenured associate professor level 2 (UHD2) position will be at least six months before the employment contract expires.

Appointment of an associate professor level 2 (UHD2) via external open recruitment

Positions at the level of associate professor level 2 (UHD2) can also be filled via external open recruitment. The same procedure as set out for recruitment for assistant professor level 2 (UD2) will be followed. Only the part regarding the appointment differs. Initially, the appointments will be temporary and outside the tenure track system, with as guiding principle a period of three years. At least six months before the employment contract expires, the candidate will be appraised by the FBC for possible promotion to a tenured position as adjunct-hoogleraar. If the candidate does not satisfy the UFO and Faculty criteria for the position of adjunct-hoogleraar, the temporary associate professor level 2 position (UHD2) can be extended for three years after an extra appraisal at least six months before the employment contract expires.

A candidate can also decide to request a regular appraisal of job performance at the associate professor level 2 (UHD2) level. If the candidate satisfies the UFO and Faculty criteria for the position of associate professor level 2 (UHD2), the temporary appointment can be converted into tenure. If the employee does not satisfy the criteria, the employment contract will expire *ipso jure*. During the remaining period of employment, the candidate will be offered an outplacement procedure.

Appointment of an associate professor level 1 (UHD1) via external open recruitment

Positions at the level of associate professor level 1 (UHD1) can also be filled via external open recruitment. The same procedure as set out for recruitment for assistant professor level 2 (UD2) will be followed. Only the part regarding the appointment differs. Initially, the appointments will be temporary and outside the tenure track system, with as guiding principle a period of three years. At least six months before the employment contract expires, the candidate will be appraised by the FBC for possible promotion to a tenured position as adjunct-hoogleraar. If the candidate does not satisfy the UFO and Faculty criteria for the position of adjunct-hoogleraar, the temporary associate professor position (UHD1) can be extended for three years after an extra appraisal at least six months before the employment contract expires.

A candidate can also decide to request a regular appraisal of job performance at the associate professor (UHD1) level. If the candidate satisfies the UFO criteria for the position of associate professor level 1 (UHD1), the temporary appointment can be converted into tenure. If the

employee does not satisfy the criteria, the employment contract will expire *ipso jure*. During the remaining period of employment, the candidate will be offered an outplacement procedure.

2.2 Promotion to assistant professor level 1 (UD1), associate professor level 2 (UHD2), associate professor with *ius promovendi* (adjunct-hoogleraar), full professor 1, full professor 2

1. Applying for promotion comprises the following aspects:
 - A CV in English, including a reference to performance in teaching and research, and a list of publications
 - Motivation, with each criterion (research, teaching, administration) with evidence supporting why the candidate thinks he/she has satisfied it
 - Description of the research line, the view of teaching and the translation into the curriculum
 - All teaching evaluations from the previous two years
 - Allocation letters from external, open competition grants from indirect government funding and contract research over the past 5 years. If the candidate is not named as the main applicant, the main applicant can be requested to indicate whether the candidate was the de facto main applicant or not, and how great the role of the candidate was
 - An overview of PhD students, with a list giving the name of the PhD student, the starting date and projected date of the degree ceremony, the professor of record and a specification of the supervisory role
 - For promotion to associate professor 2 (UHD2):
Names and e-mail addresses of 3 referees, including two from abroad
 - Promotion to adjunct-hoogleraar, full professor 1, full professor 2:
Names and e-mail addresses of 5 referees, including at least three from abroad
2. Composition of the committee
 - For *promotion to assistant professor level 1 (UD1)*:
The BC is installed by the FB and comprises the following members
 - Relevant director of studies
 - Relevant director of research
 - Immediate superior
 - For *promotion to associate professor 2 (UHD2), adjunct-hoogleraar, full professor 2*:
The FBC is installed by the FB and comprises the following members
 - The permanent members of the committee are the Dean (chair), three academics (full professors 1 and/or directors of studies or research) and a student. The permanent members are appointed for a term of 3 years with the exception of the student member (annual appointment). One member will resign every year
 - In addition, for each candidate to be assessed, a professor from outside the University of Groningen with sufficient specialized knowledge of the field will join the committee
 - For promotions to adjunct-hoogleraar or full professor 2, the relevant director of studies or research will join the committee
 - For *promotion to full professor 1*:
The BC is installed by the FB and comprises the following members:
the Dean (chair), the Vice Dean and the relevant director of research
 - A HR advisor functions as an advisor to the BC.

3. Appraisal

- In a short meeting, the candidate presents his/her vision of the research, the teaching and the organization to the BC.

For all promotions above assistant professor level 1 (UD1), the following will also be required:

- By means of a questionnaire, the supervisor will assess the quality of the research (incl. the quality of the international journals in which the candidate has published), the teaching (incl. providing a summary of the teaching evaluations) and the management/administration tasks. The supervisor will also provide an opinion of the relevant competences.
- The relevant directors of studies and research will use questionnaires to judge the quality of the teaching and research respectively. To this end they will receive the description of the research line or vision of teaching and translation into the curriculum provided by the candidate.
- From the external referees proposed by the candidate, three will be selected (by the director of research or the chair of the FBC/BC). The selected referees will be written to by the FBC and asked to provide references within one calendar month. All the selected referees must give a positive assessment of the member of staff, without reservations.

4. Nomination to FB

- The FBC/BC will advise the FB on two options:
 - a. The candidate satisfies the UFO and Faculty criteria for the position in question. The candidate is promoted to the position in question and the temporary employment contract is extended by three years (for a assistant professor level 1 (UD1) position) or tenure is granted (other positions).
 - b. The candidate does not satisfy the UFO and Faculty criteria for the position in question. *If the current position is temporary:* The employment contract will expire *ipso jure* and for the remaining period of the contract the candidate will be offered an outplacement procedure. Only for structural duties and after the approval of the FB may candidates in exceptional cases be appointed as lecturer and/or researcher.
- The FBC/BC will draw up a report supporting its advice to the FB. On the basis of the FBC/BC advice, the FB shall decide to promote (promotions to assistant professor level 1 (UD1) or associate professor level 2 (UHD2)) or to nominate to the Board of the University for promotion to full professor or adjunct-hoogleraar.
- The chair of the FBC/BC will inform the candidate in person of the FBC/BC advice and the FB decision.

There are two more steps in the promotion process to adjunct-hoogleraar, full professor 2 and full professor 1:

5. Presentation to CvB

- The FB will request the candidate together with the supervisor and if necessary the department directors to draw up a profile of the chair.
- The FB will send the nomination to HRM-RUG to be processed, and the decision by the Board of the University (CvB) will be based on this. The nomination file will include the following documents:
 - Presentation letter FB
 - Profile of the chair (if the CvB does not yet have it)
 - FBC report and FB decision
 - CV and list of publications of the candidate
 - Three references from abroad

N.B. Advice from sister faculties will not be sought for internal *promotion* to full professor 2.

6. Conclusion

- The Faculty will arrange the terms of employment after approval of the nomination by the CvB
- HRM-GMW will prepare the draft appointment decision and the terms of employment letter and send both to HRM-RUG.
- HRM-RUG will sign the promotion documents on behalf of the CvB and send them to the candidate.

3 Criteria for appointing an assistant professor level 2 (UD2) and for promotion to assistant professor level 1 (UD1), associate professor level 2 (UHD2), associate professor with *ius promovendi* (adjunct-hoogleraar), full professor 2 and full professor 1

Job profiles have been drawn up for all academic positions in the fields of teaching, research, and management and administration on the basis of UFO. These profiles describe the aim of the position, the core activities, the results areas and the classification criteria. In addition to these UFO job profiles, key competences needed to successfully fill an academic position have also been developed. The FB has drawn up additional criteria for the positions of assistant professor (UD), associate professor (UHD), adjunct-hoogleraar and full professor. The UFO job profiles, their associated competences and the Faculty criteria apply to both new and current staff. They form the appraisal criteria for promotion within the framework of the tenure track careers policy and are the starting point for the regular career development and appraisal interviews.

The criteria apply to certain aspects of an academic's performance, some of which must be quantifiable. In cases where there are quantitative requirements, for example publications per year or research grants, these are minimum levels, which apply to staff members with contracts for 1.0 FTE with a research percentage of at least 40%. The criteria remain the same for a part-time position or in cases where the work is temporarily suspended. However, the period can be extended proportionately, so for a part-time position of 0.7 FTE, the period becomes 1.4 times as long, rounded off in whole years. This is also how absence for shorter or longer periods of time due to maternity leave, illness, etc. can be offset. In situations where the relationship between teaching and research is more lopsided, the period can also be adapted accordingly. For example, a research percentage of only 0.2 FTE instead of the minimum of 0.4 FTE can be offset by doubling the period to which the criteria apply. N.B. Offsetting can only be applied by extending the period; curtailments (which would be to the disadvantage of the staff member) are not permitted.

The starting point for promotion is that all the criteria must have been satisfied. In situations to which this does not apply, the supervisor can propose to the FB that the non-satisfaction of one criterion be offset by the over-satisfaction of a different criterion. The latter may also be an explanation of why the criterion in question could not be satisfied.* The Faculty Board will ask the FBC for its advice and make its decision whether to permit the proposed offsetting based on that advice. The crucial consideration is whether the level of job performance may be regarded as just as high as the original criteria require.

* One example is when a staff member supervises a large number of PhD students and thus publishes prolifically as co-author but has fewer than the required first author titles to his/her name. The significant supervisory duties, and the fact that the actual publication is left to the PhD student, who becomes first author, thus qualifies as an explanation for the fact that the number of first author titles is limited. Another example is where a staff member has been awarded one grant too few to satisfy the criteria, but has had a Veni-Vidi-Vici proposal assessed with the highest possible scores on all criteria. In such cases the may propose that the over-satisfaction of one of the other criteria (e.g. number of publications) may offset the situation.

It is also possible that special circumstances may make an adaptation of the criteria more than reasonable for some staff members. In such cases, the supervisor will make a proposal in advance to adapt the criteria, * which the FB, after requesting advice from the FBC, will decide whether or not to honour. The crucial consideration is whether the level of the adapted criteria may be regarded as just as high as the original criteria. The resulting alternative criteria (agreed in advance, and motivated) shall be included in the academic's personnel file.

The next sections shall combine the classification criteria from the UFO job profiles, the competences linked to them and the Faculty criteria (criteria for short) for each position.

* For example, the criteria applied by research schools may place a greater emphasis on books or publications in Dutch; such a situation could serve to support a proposal by the supervisor on allowing for compensation in case of non-satisfaction of the required number of articles in English for that particular discipline.

3.1 Criteria for Assistant Professor level 2 (UD2)

Research

- Has a PhD.
- In the five years preceding the appraisal, had an output of at least three publications in highly regarded international journals as first author. Articles that are ‘fully accepted’ shall be included.
- Is capable of contributing to the acquisition of indirect government funding and contract research, demonstrated for example by contributing to a grant application, or on the basis of a referee’s report.
- Demonstrates an understanding of the societal relevance of the own research.

Teaching

- Has substantial teaching experience.
- Ensures regular updates to and signals points for improvement for the allocated course units.
- A non-Dutch staff member has mastered Dutch to B1 level; a non-native speaker of English has mastered English to C1.*
- Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012).

Organization/Administration

- Participates in (or manages/chairs) work groups, committees or project teams within the department.
- Contributes efficiently and effectively to the smooth running of the teaching/research processes in which he/she is involved. Has demonstrable organizational qualities.
- Contributes to a good atmosphere and team spirit within his/her work contexts.
- Scores at least satisfactory for the competences ‘conceptual ability’, ‘self-reflection’, ‘presentation’ and ‘result orientation’.

* The different levels are from the Council of Europe reference scheme.
(http://www.coe.int/T/DG4/Portfolio/?L=E&M=/main_pages/levels.html)

3.2 Criteria for promotion to assistant professor level 1 (UD1)

Research

- Has a PhD.
- In the five years preceding the appraisal, has had an output of at least five publications in highly regarded international journals as first author or three publications as first author supplemented by four publications as co-author. Articles that are 'fully accepted' shall be included.
- National and international recognition, and the ability to work independently as demonstrated by contributions to national and international meetings and networks.
- In the past five years, has written at least one grant application (guideline: at least EUR 100,000), with at least one of them earning a good referee assessment.

Teaching

- Has at least two years of proper teaching experience for at least 0.25 FTE or three years at 0.2 FTE, including sole or joint responsibility for at least one course unit.
- Ensures regular updates to and signals points for improvement for the allocated course units.
- Provides good teaching, as shown by teaching evaluations and the supervisor's assessment
- A non-Dutch staff member has mastered Dutch to B2 level; a non-native speaker of English has mastered English to C1.
- Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012).

Organization/Administration

- Heads work groups, committees or project teams inside and outside the department and within the capacity group.
- Understands the way the Faculty and the University are organized, and is aware of national and international developments in the fields of teaching and research.
- Contributes efficiently and effectively to the smooth running of the teaching/research processes in which he/she is involved. Has demonstrable organizational qualities.
- Contributes to a good atmosphere and team spirit within his/her work contexts.
- Scores at least satisfactory for the competences 'conceptual ability', 'self-reflection', 'presentation' and 'result orientation'.

3.3 Criteria for promotion to associate professor level 2 (UHD2)

Research

- Has a PhD.
- Has developed, coordinated and realized a coherent set of research projects, comparable with the fields of special interest specified in NWO research. These fit or dovetail with one of the Faculty research programmes.
- Has published at least five articles as first author or three articles as first author and four articles as co-author in renowned international journals in the five years prior to appraisal. Articles that are 'fully accepted' shall be included.
- Has in the five years preceding the appraisal* acquired at least one substantial grant (for example, for a PhD student or postdoc position, or a similar investment grant) in open competition from indirect government funding and/or contract research. This concerns an independently written application, whereby the staff member is at least the de facto main applicant; in cases where there is a different pro forma main applicant, the latter should indicate that the application was actually written by the candidate.
- Has in the five years preceding the appraisal* spent at least one year as the main supervisor of at least one PhD candidate.
- Has national and international repute and autonomy, demonstrated by participation in international networks, invitations to be a speaker or keynote speaker at conferences, coordinating duties for conferences, membership of the editorial board of an international journal and citation frequency.
- Has in the five years preceding the appraisal contributed to the societal impact of the own field.*

Teaching

- Has at least four years of proper teaching experience for at least 0.25 FTE, or 1.0 FTE in total over these years, including sole or joint responsibility for at least one course unit.
- Teaching quality is good, as demonstrated by teaching evaluations (supplemented by the staff member's reactions to them) and the supervisor's assessment.
- Demonstrates vision regarding academic teaching in general and within the own discipline in particular.
- Has demonstrated the ability to translate this vision into an adequate curriculum: development and improvement of content, teaching methods and testing.
- A non-Dutch staff member has mastered Dutch to B2 level; a non-native speaker of English has mastered English to C1 level.
- Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012).

Organization/Administration

- Performs management and/or administrative duties beyond the department, for instance chairing a degree programme advisory committee or coordinating a degree programme, etc.
- Understands the way the Faculty and the University are organized, and is aware of national and international developments in the field of teaching and research.
- Contributes efficiently and effectively to the smooth running of the teaching/research processes in which he/she is involved. Has demonstrable organizational qualities.
- Contributes to a good atmosphere and team spirit within his/her work contexts.

* Transitional arrangements apply, see p.3

- Scores at least satisfactory for the competences ‘develop vision’, ‘persuasiveness’, ‘result-oriented’ and ‘initiative’.

3.4 Criteria for promotion to associate professor with *ius promovendi* (*adjunct-hoogleraar*)

Research

- Has developed a clear, independent line of research with potential for an outstanding VSNU assessment. This fits or dovetails with one of the Faculty research programmes.
- Coordinates and is responsible for realizing a research programme OR is responsible for planning and implementing a long-term, specialist research project.
- Has published at least five articles as first author or three articles as first author and four articles as co-author in renowned international journals in the five years prior to the appraisal. Articles that are 'fully accepted' shall be included.
- Has acquired at least two substantial grants* (for example, for a PhD student or postdoc position, or a similar investment grant) in open competition from indirect government funding and/or contract research, at least one of which in the last five years. This concerns an application whereby the staff member is at least the de facto main applicant; in cases where there is a different pro forma main applicant, the latter should indicate that the application was actually written by the candidate.
- In the five years preceding the appraisal, has successfully supervised two PhD students as main supervisor throughout the process, i.e. at least until the thesis has been approved by the thesis committee.
- Has national and international reputation and autonomy, demonstrated e.g. by participation in international networks and conferences, prizes, paid invitations to be an invited speaker at international conferences, content-related coordinating duties for conferences, membership of the editorial board of an international journal and citation frequency.
- Has in the five years preceding the appraisal contributed to the societal impact of the own field.*

Teaching

- Has at least six years of proper teaching experience for at least 0.3 FTE, or 2.0 FTE in total over these years, including sole or joint responsibility for at least one course unit.
- Teaching quality is good, as demonstrated by teaching evaluations (supplemented by the staff member's reactions to them) and the supervisor's assessment.
- Demonstrates vision regarding academic teaching in general and within the own discipline in particular.
- Has demonstrated the ability to translate this vision into an adequate curriculum: development and improvement of content, teaching methods and testing.
- A non-Dutch staff member has mastered Dutch to B2 level; a non-native speaker of English has mastered English to C1 level.
- Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012).

Organization/Administration

- Performs management and/or administrative duties beyond the department, for instance chairing a degree programme advisory committee or coordinating a degree programme, etc.
- Understands the way the Faculty and the University are organized, and is aware of national and international developments in the field of teaching and research.
- Contributes efficiently and effectively to the smooth running of the teaching/research processes in which he/she is involved. Has demonstrable organizational qualities within the departmental section, department and faculty.
- Has leadership qualities.

* Transitional arrangements apply, see p.3

- Contributes to a good atmosphere and team spirit within his/her work contexts.
- Scores at least satisfactory for the competences 'develop vision', 'persuasiveness', 'result-oriented' and 'initiative'.

3.5 Criteria for promotion to full professor 2

Research

- Has developed a clear, productive independent line of research; this can be demonstrated, for example, by an outstanding VSNU assessment. This fits or dovetails with one of the Faculty research programmes. The research demonstrates clear links with national and international research programmes, and has led to or has the potential to form national and international collaborations.
- Has published at least eight articles as first author or five articles as first author and six articles as co-author in renowned international journals in the five years prior to the appraisal. Articles that are 'fully accepted' shall be included.
- Has in the ten years preceding the appraisal acquired at least three substantial grants (for example, for a PhD student or postdoc position, or a similar investment grant) in open competition from indirect government funding and/or contract research. This concerns an independently written application, whereby the staff member is at least the de facto main applicant; in cases where there is a different pro forma main applicant, the latter should indicate that the application was actually written by the candidate.
- In the ten years preceding the appraisal, has successfully supervised three PhD students as professor of record or main supervisor throughout the process, i.e. at least until the thesis has been approved by the thesis committee.
- Has national and international repute and autonomy, demonstrated by e.g. participation in international networks and conferences, prizes, paid invitations to be an invited speaker at conferences, content-related coordinating duties for conferences, membership of the editorial board of an international journal and citation frequency. These activities must demonstrate that the staff member has the capability and authority to guide developments within the field.
- Has made several contributions to the societal impact of the own discipline.*

Teaching

- Has at least eight years of proper teaching experience for at least 0.3 FTE, or 3.0 FTE in total over these years, including responsibility for at least one course unit.
- Teaching quality is good, as demonstrated by teaching evaluations (supplemented by the staff member's reactions to them) and the supervisor's assessment.
- Demonstrates vision regarding academic teaching in general and within the own discipline in particular.
- Has demonstrated the ability to translate this vision into an adequate curriculum: development and improvement of content, teaching methods and testing.
- Has made and implemented strategic curriculum proposals.
- A non-Dutch staff member has mastered Dutch to C1 level; a non-native speaker of English has mastered English to C1 level.
- Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012).

Organization/Administration

- Performs management and/or administrative duties beyond the department, for instance chairing a degree programme advisory committee or coordinating a degree programme, etc.
- Participates in (or manages/chairs) committees or work groups aimed at managing the Faculty or institution.
- Understands the way the Faculty and the University are organized, and is aware of national and international developments in the fields of teaching and research.

* Transitional arrangements apply, see p.3

- Contributes efficiently and effectively to the smooth running of the teaching/research processes in which he/she is involved. Has demonstrable organizational qualities within the departmental section, department and Faculty.
- Contributes to a good working atmosphere and team spirit and to consultation and harmonization of tasks within the department.
- Scores at least satisfactory for the competences 'develop vision', 'social awareness', 'persuasiveness', 'loyalty leadership' and 'entrepreneurship'.

3.6 Criteria for promotion to full professor 1

Research

- The research programme of the department scores well in terms of quality and number of publications at VSNU level (greater than 4) or SEP level (4 or 5), or any comparable standard of external ranking, if there is no recent assessment available in the context of a research inspection.
- Makes his/her own substantial contribution to this score, in principle, on average, with at least two academic publications per year as first author in well-regarded international journals.
- Is a member of the editorial board of a renowned academic journal.
- In the ten years preceding the appraisal, has successfully supervised at least eight PhD students as professor of record or main supervisor throughout the process, i.e. at least until the thesis has been approved by the thesis committee.
- Has in the five years preceding the appraisal been the main applicant for at least two successful substantial grants (for example, for a PhD student or postdoc position, or a similar investment grant) in open competition from indirect government funding and/or contract research.
- Has international repute and autonomy, demonstrated by participation in international networks and conferences, prizes, paid invitations to be the keynote speaker at conferences determining the state of the art of the research field, content-related coordinating duties for conferences, and citation frequency. These activities must demonstrate that the staff member has the capability and authority to guide developments within the field.
- Has made several contributions to the societal impact of the own discipline.

Teaching

- Is responsible for the quality of the curriculum within the own department.
- Has at least ten years of proper teaching experience for at least 0.3 FTE, or 4.0 FTE in total over these years, including responsibility for at least one course unit.
- Teaching quality is good, as demonstrated by teaching evaluations (supplemented by the staff member's reactions to them) and the supervisor's assessment.
- Conveys a clear vision of teaching and curriculum development, aimed at quality and where necessary innovation of the Faculty curriculum and optimization of the success rate.
- Has demonstrated the ability to translate this vision into an adequate curriculum: development and improvement of content, teaching methods and testing.
- A non-Dutch professor has mastered Dutch to C1 level; a non-native speaker of English has mastered English to C1 level.
- Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012).

Organization/Administration

- Performs management and/or administrative duties within the departmental section, department or Faculty, for example as chair of a department, director of studies, research director or Dean or Vice Dean.
- Understands the way the Faculty and the University are organized, and is aware of national and international developments in the fields of teaching and research.
- Contributes efficiently and effectively to the smooth running of the teaching/research processes in which he/she is involved. Has demonstrable organizational qualities within the departmental section, department and faculty.
- Manages a department, unit or institute with more than 10 FTE in terms of academic personnel.

- Chairs national or international committees or work groups, thus also promoting the institution.
- Contributes to a good working atmosphere and team spirit and to consultation and harmonization of tasks within the department.
- Scores at least satisfactory for the competences 'develop vision', 'social awareness', 'persuasiveness', 'loyalty leadership' and 'entrepreneurship'.

Appendix 1: List of definitions

Associate Professor with *ius promovendi* (adjunct-hoogleraar):

An Associate Professor (UHD1) appointed by the Board of the University for a period of seven years with the right to act as “promotor”, i.e. having the *ius promovendi*.

Renowned international journal:

A journal published in English with at least a peer-review system and which is among the important academic journals in the field, for example as agreed by research schools in the relevant fields. The supervisor will be asked to indicate whether the journals in the list of publications of the candidate are renowned or not.

Postdoc:

A member of staff with a PhD with a temporary appointment for between one and four years, with the UFO job profile of researcher 3 or 4.

Substantial grant:

A substantial grant for a PhD or postdoc position or an equivalent investment grant.

Appendix 2: Summary of the requirements and criteria for positions within the Tenure Track system (NB For a complete description please refer to the text):

Research (OZ)

Requirements for UD level 2	Requirements for UD level 1	Requirements for UHD level 2	Requirements for Adjunct-hoogleraar	Requirements for Prof. level 2	Requirements for Prof. level 1
Has a PhD	Has a PhD	Has a PhD; has developed, coordinated and realized a coherent body of research projects, comparable with NWO fields of special interest and that dovetails with OZ BSS	Has developed an own research line with the potential for an outstanding VSNU assessment and that dovetails with OZ BSS; realization + coordination of OZ programme <u>or</u> planning and realization of long-term specialist research project	Has developed a clear, productive own research line with national and international connections and that dovetails with OZ BSS	OZ programme of department scores ≥ 4 for Productivity and Quality at SEP level, or at a comparable level in the external advice process if there is no recent assessment available within the framework of a research visitation
In the last 5 years, $\geq 3x$ 1 st author in high-quality journals	In the last 5 years, $\geq 5x$ 1 st author or $\geq 3x$ 1 st author + 4x co-author in high-quality journals	In the last 5 years, $\geq 5x$ 1 st author or $\geq 3x$ 1 st author + 4x co-author in high-quality journals	In the last 5 years, $\geq 5x$ 1 st author or $\geq 3x$ 1 st author + 4x co-author in high-quality journals	In the last 5 years, $\geq 8x$ 1 st author or $\geq 5x$ 1 st author + 6x co-author in high-quality journals	Has ≥ 2 publications on average per year as 1 st author in high-quality journals
					Is a member of the editorial board of a prominent journal
Is capable of contributing to acquiring indirect govt. or contract funding	In the past 5 years has written ≥ 1 grant application and gained at least one positive referee assessment	In the past 5 years has been awarded >1 substantial grant in open competition as the de facto or actual 1 st applicant	Has been awarded ≥ 2 substantial grants in open competition as the de facto or actual 1 st applicant, one of which was in the last 5 years	In the past 10 years has been awarded ≥ 3 substantial grants in open competition as the de facto or actual 1 st applicant	In the past 5 years has been awarded ≥ 2 substantial grants in open competition as the 1 st applicant
		Has in the past 5 years supervised at least 1 PhD student for at least a year as the main supervisor	Has in the past 5 years supervised at least 2 PhD students as main supervisor throughout the process	Has in the past 10 years supervised at least 3 PhD students as main supervisor throughout the process	Has in the past 10 years supervised at least 8 PhD students as main supervisor throughout the process
	International recognition, and the ability to work independently as demonstrated e.g. by contributions to national and international meetings and networks.	International recognition, and the ability to work independently as demonstrated e.g. by contributions to international networks, invitations to be speaker, coordination duties at conferences, editorial board of international journals, citation frequency	International recognition, and the ability to work independently as demonstrated e.g. by contributions to international networks, invited speaker and coordination duties at conferences, editorial board of international journals, citation frequency	International recognition, and the ability to work independently as demonstrated e.g. by contributions to international networks, invited speaker and coordination duties at conferences, editorial board of international journals, citations, prizes. Can guide developments within the field.	International recognition, and the ability to work independently as demonstrated e.g. by contributions to international networks, keynote speaker invitations, coordination duties at conferences, editorial board of international journals, citations, prizes. Can guide developments within the field.
Has an understanding of the societal relevance of the own research		In the last 5 years, has contributed to the societal impact of the own field	In the last 5 years, has contributed to the societal impact of the own field	Has made several contributions to the societal impact of the own discipline.	Has made several contributions to the societal impact of the own discipline.

Teaching (OW)

Requirements for UD level 2	Requirements for UD level 1	Requirements for UHD level 2	Requirements for Adjunct-hoogleraar	Requirements for Prof. level 2	Requirements for Prof. level 1
Has substantial teaching experience.	Has ≥2 years of proper teaching experience for ≥0.25 FTE (or ≥3 yrs ≥0.2 FTE), including joint responsibility for at least one course unit	Has ≥4 years of proper teaching experience for ≥0.25 FTE (or ≥1.0 FTE in those years combined), including joint responsibility for at least one course unit	Has ≥6 years of proper teaching experience for ≥0.3 FTE (or ≥2.0 FTE in those years combined), including joint responsibility for at least one course unit	Has ≥8 years of proper teaching experience for ≥0.3 FTE (or ≥3.0 FTE in those years combined), including joint responsibility for at least one course unit	Has ≥10 years of proper teaching experience for ≥0.3 FTE (or ≥4.0 FTE in those years combined), including joint responsibility for at least one course unit
	Teaching performance is qualitatively good, as demonstrated by teaching evaluations and assessment of supervisor	Teaching performance is qualitatively good, as demonstrated by teaching evaluations and assessment of supervisor	Teaching performance is qualitatively good, as demonstrated by teaching evaluations and assessment of supervisor	Teaching performance is qualitatively good, as demonstrated by teaching evaluations and assessment of supervisor	Teaching performance is qualitatively good, as demonstrated by teaching evaluations and assessment of supervisor
		Demonstrates vision regarding OW in general and within discipline	Demonstrates vision regarding OW in general and within discipline	Demonstrates vision regarding OW in general and within discipline	Conveys a clear vision of teaching and curriculum development, aimed at quality and where necessary innovation of the Faculty curriculum and optimization of the success rate.
		Can translate vision into teaching content – development and improvement of content, teaching methods and testing	Can translate vision into teaching content – development and improvement of content, teaching methods and testing	Can translate vision into teaching content – development and improvement of content, teaching methods and testing	Can translate vision into teaching content – development and improvement of content, teaching methods and testing
Regular maintenance and signalling of possibilities of improvement to the allocated OW	Regular maintenance and signalling of possibilities of improvement to the allocated OW			Has made and implemented strategic curriculum proposals.	Is responsible for the quality of the curriculum within the own department.
Command of Dutch is B1 level, English C1 level	Command of Dutch is B2 level, English C1 level	Command of Dutch is B2 level, English C1 level	Command of Dutch is B2 level, English C1 level	Command of Dutch is C1 level, English C1 level	Command of Dutch is C1 level, English C1 level
Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012)	Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012)	Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012)	Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012)	Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012)	Has a Basic Teaching Qualification (BKO) (applies from 1 September 2012)

Organization/Administration

Requirements for UD level 2	Requirements for UD level 1	Requirements for UHD level 2	Requirements for Adjunct-hoogleraar.	Requirements for Prof. level 2	Requirements for Prof. level 1
Participation in (or chair of) work groups, committees, project teams in own department	Chairs work groups, committees, project teams within own capacity group	Performs administrative duties outside own department	Performs administrative duties outside own department	Performs administrative duties outside own department	Performs administrative and/or management tasks within own unit and department or faculty (e.g. director or chair of department)
	Understands the way BSS and the University are organized, and is aware of national and international developments in the field of teaching and research.	Understands the way BSS and the University are organized, and is fully aware of national and international developments in the field of teaching and research.	Understands the way BSS and the University are organized, and is fully aware of national and international developments in the field of teaching and research.	Understands the way BSS and the University are organized, and is fully aware of national and international developments in the field of teaching and research.	Understands the way BSS and the University are organized, and is fully aware of national and international developments in the field of teaching and research.
Contributes effectively and efficiently to OZ and OW processes. Has organizational qualities	Contributes effectively and efficiently to OZ and OW processes. Has organizational qualities	Contributes effectively and efficiently to OZ and OW processes. Has organizational qualities	Contributes effectively and efficiently to OZ and OW processes. Has organizational qualities within section, department and Faculty	Contributes effectively and efficiently to OZ and OW processes. Has organizational qualities within section, department and Faculty	Contributes effectively and efficiently to OZ and OW processes. Has organizational qualities within section, department and Faculty
					Manages group of ≥10 FTE
			Has leadership qualities	Chairs or participates in committees or work groups aimed at managing the Faculty or institution	Chairs national or international committees or work groups, thus promoting the institution
Contributes to the working atmosphere and team spirit	Contributes to the working atmosphere and team spirit	Contributes to the working atmosphere and team spirit	Contributes to the working atmosphere and team spirit	Contributes to the working atmosphere and team spirit, and to consultation and meetings within basic unit	Contributes to the working atmosphere and team spirit, and to consultation and meetings within basic unit
Scores at least satisfactory on the following competences: conceptual ability; self-reflection; presentation; result orientation	Scores at least satisfactory on the following competences: conceptual ability; self-reflection; presentation; result orientation	Scores at least satisfactory on the following competences: develop vision; persuasiveness; result-oriented; initiative	Scores at least satisfactory on the following competences: develop vision; persuasiveness; result-oriented; initiative	Scores at least satisfactory on the following competences: develop vision; social awareness; persuasiveness; loyalty leadership; entrepreneurship	Scores at least satisfactory on the following competences: develop vision; social awareness; persuasiveness; loyalty leadership; entrepreneurship