The Tenure-Track System

‘A career path for promising young academics’
‘Career opportunities for talented academics’

University Medical Center Groningen (UMCG)

June 2005
Approved by the Executive Board
Introduction

In the field of research and education, the UMCG aims to invest in top-quality expertise, maintain an international orientation, respect differences in talent and ambition and continue to lead the field in Europe.

In order to compensate for the outflow of experienced academics foreseen over the coming ten years, and in the context of strategic policy (including personnel policy) oriented towards quality, the UMCG is focusing on attracting talented academics who are to progress to key positions in teaching and research at the UMCG.

At the beginning of 2003, therefore, an experiment relating to the tenure-track was launched in the former Faculty of Medical Sciences (see Tenure-Track memorandum approved by the Faculty Board on 04-02-2003), wherein highly talented postdocs were offered a defined career-development path with a number of fixed appraisal stages.

The tenure-track has now become an official component of personnel policy. On 15 February 2005, the Executive Board of the RUG approved the tenure-track programme following consultations with local employee organizations and discussions with the University Council, the University’s central representative body. The UMCG can recommend talented academics, who are appointed as Associate Professor (Universitair Hoofddocent) via the tenure-track scheme, to the Executive Board for promotion to the position of Associate Professor.

The UMCG procedure is based on the tenure-track procedure of the Faculty of Mathematics and Natural Sciences (FWN), as described in the memorandum Career Paths in the Sciences. However, in contrast to FWN, the UMCG has chosen to admit only a limited number of talented academics to the tenure-track. There must be no doubt that a tenure-track contract is a confirmation of the abilities of the person concerned, who is expected to progress to a key position (professorship) within the faculty.

The UMCG will also retain the ‘traditional’ route, whereby staff progress without prior agreements from postdoc via University Lecturer level 2 (Universitair Docent 2), University Lecturer level 1 (Universitair Docent 1), Associate Professor level 2 (Universitair Hoofddocent 2) and Associate Professor level 1 (Universitair Hoofddocent 1) to Professor.

This document explains the tenure-track programme. We will begin by briefly outlining the strategic principles of personnel policy and the position of the tenure track within it (section 1). Section 2 describes the tenure-track programme. Section 3 describes the instruments that relate to the tenure-track. Finally, section 4 discusses in detail the procedure and criteria for selection and appraisal during the various phases of the tenure-track programme.

*NB. In case of any conflict of meaning due to the translation of Dutch to English, the Dutch version will take precedence.*
1. Strategic personnel policy: the position and principles of the tenure-track

‘A Challenging University’, the RUG strategic plan for the years 2003-2010, sets the course for teaching and research policy at the UMCG. In order to continue as a leading knowledge centre in the Netherlands and abroad in the coming years, our priorities are quality, level differentiation and cross-border multidisciplinary teaching and research.

The UMCG wants to maintain and extend its position as a leading teaching institution. In the years to come, the UMCG needs to improve its international position in the field of research by focusing on the quality and quantity of its research output. Talented young researchers will play a key role in the coming 10 years, as they replace senior academics who retire.

The RUG Personnel Policy for 2004-2010 is a reference framework for personnel policy relating to academic staff at the UMCG.

Identifying talented academics and motivating, stimulating and guiding their development are priorities in the policy of the UMCG. This process begins with undergraduate programmes in medicine and dentistry: students interested in research are invited to take part in the Junior Scientific Masterclass (JSM). Later on in their studies, talented students can apply to join a (D)MD/PhD programme.

The aim of the tenure-track is to offer talented PhD graduates who fulfil the criteria a ten-year career path leading to a professorship. Obviously, the tenure-track is open to academics from disciplines other than medicine and dentistry.

The UMCG hopes that this system will attract top academics. In addition, the UMCG is seeking to attract a larger number of highly qualified women, both through the tenure-track system and the Rosalind Franklin Fellowships awarded by the Executive Board.

The job profiles compiled under the UFO system (*Universitair Functie Ordenen*; University Job Ranking) are an important aid in terms of defining the performance criteria for each phase of the tenure-track. The specific appraisal criteria for each phase are based on these profiles.
2. The tenure-track system at the UMCG

An individual’s academic career may take many forms, depending on his or her abilities and achievements. The main aim of the UMCG tenure-track system is to recruit and retain outstanding young scientists by offering them a clear career path. In the longer term, these members of staff will progress to key positions within the UMCG.

The scope of the UMCG tenure-track system is limited to outstanding young academics. A person will be admitted to the tenure-track only if there is a shared expectation that he or she will advance to a key faculty position (professorship) within ten years. The ‘traditional’ career path for academics will remain in place, so that the UMCG continues to provide opportunities for career advancement – subject to performance criteria and vacancies – for staff who do not have a predefined career path.

The typical career path for staff selected for the tenure-track is as follows:

<table>
<thead>
<tr>
<th>Phase</th>
<th>Position</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Researcher level 3 (<em>Onderzoeker</em> 3, scale 11)</td>
<td>2 years, no tenure*</td>
</tr>
<tr>
<td>B</td>
<td>University Lecturer (<em>Universitair Docent</em> 1, scale 12)</td>
<td>3 years, no tenure*</td>
</tr>
<tr>
<td>C1</td>
<td>University Senior Lecturer level 2 and Associate Professor (<em>Universitair Hoofddocent</em> 2, scale 13)</td>
<td>2 years, tenured</td>
</tr>
<tr>
<td>C2</td>
<td>University Senior Lecturer level 1 and Associate Professor (<em>Universitair Hoofddocent</em> 1, scale 14)</td>
<td>3 years</td>
</tr>
<tr>
<td>D</td>
<td>Professor (scale HGL 2)</td>
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Staff are selected for the tenure-track on the basis of recommendations made by an Appointment Advisory Committee (BAC) appointed by the Executive Board. At the end of each tenure-track phase, staff are evaluated in order to establish whether they are eligible for promotion. The Executive Board is advised by a Promotions Advisory Committee (also known as a BAC). When staff are admitted to the tenure track, a structural report is compiled, as for recommended promotion to the position of Associate Professor or Professor. Details of this procedure can be found in section 4.

It is also possible to enter the tenure track at a higher level. If a talented candidate is eligible for entry in Phase B or C1, the BAC for the relevant phase will make a recommendation to the Executive Board.

Agreements have been made within the UMCG about financing the creation of tenure-track positions. The UMCG Fund for Strategic Personnel Policy may provide additional financing for the first years (max. 2-3 years) of the tenure-track. After this period, the member of staff is responsible for securing temporary research funding. The ultimate aim is to create a permanent position for tenure-track staff in the relevant discipline. This is

*The nature of the appointment (permanent/temporary) depends on the individual’s circumstances (e.g. employment history) and will be in accordance with legal provisions and the Collective Labour Agreement (CAO).
one of the reasons that a tenure-track nomination must be supported by the leader of the discipline group.

The tenure-track positions are described briefly below.

**Researcher 3**
This is a two-year appointment without tenure (CAO for Dutch Universities, Article 3.6, paragraph 1). The researcher is required to carry out innovative research into a relatively limited area, within a multidisciplinary research group. There must be regular contact and discussion with the project leader or academic staff member. The researcher must also demonstrate that he/she is able to give lectures and obtain research funding. It is seen as essential for the particular research profile that agreements be made about it on commencement of the appointment. These agreements are reflected in the structural report that accompanies the tenure-track position. The agreements are made in consultation with the director of the research school and the chairman of the discipline group. If the researcher fulfils the performance criteria, he/she will be promoted to University Lecturer 1, which is a three-year appointment.

**University Lecturer 1**
In this phase, the tenure-track staff member can be given a temporary three-year appointment in accordance with the CAO for Dutch Universities (CAO-NU), Article 3.6 paragraph 1. During this phase, the staff member must develop the line of research specified in the structural plan, in consultation with the discipline-group chairman and research director, and within the relevant field of research. A key factor is the ability to secure research funding, for example through a VIDI grant application under the Innovational Research Incentives Scheme of the NWO (Netherlands Organization for Scientific Research). Tenure-track staff are expected not only to develop their scientific knowledge and insight, and demonstrate this by publishing in prominent scientific journals and participating in conferences, but are also expected to perform well with regard to teaching. If a staff member receives a positive appraisal, he/she will be appointed to the position of University Lecturer 1, and is recommended to the Executive Board for a five-year appointment as Associate Professor. A structural report is compiled for this purpose.

**University Senior Lecturer 2 and Associate Professor**
University Senior Lecturers 2 /Associate Professors have a tenured position within the relevant discipline group or organizational unit of the UMCG. The profile for this position is broader (multidisciplinary) or more specialized. The University Senior Lecturer 2 / Associate Professor has additional responsibilities within the teaching programme of the UMCG. The person concerned also has co-ordinating, administrative and managerial tasks. If the University Senior Lecturer/ Associate Professor achieves a positive evaluation result at the end of the second year, he/she will be promoted to the position of University Senior Lecturer 1/ Associate Professor. If the candidate does not fulfil the promotion criteria, the current appointment will be extended by 2 years. If the candidate has not fulfilled the performance criteria for University Senior Lecturer 1,
he/she will be demoted to the position of University Senior Lecturer 2 (without the title of Associate Professor) and will no longer participate in the tenure-track system.

**University Senior Lecturer 1 and Associate Professor**

This phase involves a further development of the role and responsibilities of the University Senior Lecturer in terms of teaching, research and organization. If, after three years, the University Senior Lecturer 1/ Associate Professor fulfils the criteria for promotion to the position of Professor, the Management Board is responsible for submitting a structural report to the Executive Board and recommending the staff member for promotion. This is the final step in the tenure-track. This period can be extended by three years if the person does not, or does not yet, fulfil the job requirements. If the person still does not fulfil the requirements at the end of this period, he/she will remain in the position of University Senior Lecturer 1 without the title of Associate Professor, and will no longer participate in the tenure-track system. (N.B. the maximum appointment term for an Associate Professor is 10 years).

N.B. The above positions are based on the profiles of the national job-ranking system for universities (the UFO system). The aim, result areas and core responsibilities for each position are described in detail. Please see the table on page 4 of this document for the Dutch equivalents of the above mentioned positions.
3. Personnel instruments

A structured range of tools and methods is available for the purpose of implementing personnel policy and developing and sustaining an organizational culture that is vigorous and result-oriented. The tenure-track system is built on the following components:

- **Job profiles**: designed to recognize individual output
- **List of core competences**: the skills and abilities that are required to perform effectively at a given academic level
- **Annual interview**: the aim of this meeting between the member of staff and his/her superior is to assess whether performance targets have been met and to optimize the performance of the staff member
- **Evaluation**: an assessment of the staff member’s performance during the preceding period
- **Facilities for the appointment and promotion of female academic staff**
- **Teaching competences**: these are oriented towards the professional development of teaching staff
- **Training sessions and courses**: these are designed to enhance professional development in terms of content as well as skills
- **Programmes for learning and updating skills**: these are aimed at professional development for managers
- **Outplacement system**: for employees who will not be continuing their career at the UMCG

Each of the tools and methods above will now be described in greater detail.

**Job profiles**
Job profiles, including the aim, core responsibilities and result areas for the position, have been compiled in accordance with the UFO system (Universitair Functie Ordenen; University Job Ranking) for all academic teaching, research and management positions. The assessment criteria for promotions are based on these profiles. The criteria for promotion within the tenure-track system are discussed in section 4. Staff are informed about these criteria when they enter the tenure-track system.

**List of core competences**
This list is based on the list of core competences compiled by the Faculty of Mathematics and Natural Sciences. The list is used to evaluate the skills and abilities of tenure-track staff at the UMCG. The list can be found in Appendix 1. The competences for each tenure-track phase are discussed in section 4.

**Annual interviews and evaluation**
Annual interviews (performance evaluation) are one of the main instruments in the tenure-track system. They are designed to enable those in a position of authority to assess the performance of their staff at regular intervals. The arrangements within the UMCG include a periodic, future-oriented discussion between the member of staff and his/her superior about the work results, the way in which the staff member carries out his/her
work, personal development and career, conditions of employment, working conditions, and support provided by the superior. An interview is arranged every year between the tenure-track staff member and his/ her superior.

Evaluation will take place in accordance with the staff-assessment regulations (RUG, October 2001). Evaluation interviews differ from performance interviews in what they aim to achieve. During an evaluation interview, the assessors give their opinion about the employee’s performance in a given period in the past. Decisions of a legally binding nature may be based on such an evaluation.

The tenure track includes a number of evaluation stages, which are dealt with in sections 2 and 4.

*N.B. Additional performance interviews may be scheduled should job performance (positive or otherwise) require it.*

**Recruitment and promotion of female academic staff**
The number of women on the academic staff has not increased as the UMCG had hoped. The UMCG wants to attract a larger number of talented female academics. This includes the recruitment of candidates for four Rosalind Franklin Fellowships during 2005, in accordance with agreements with the Executive Board.

In addition, the UMCG will also comply with the recommendations made by the Executive Board in 2003 with regard to gender-neutral selection and assessment criteria for academic staff.

**Professionalizing teaching staff**
Following teacher-training courses and satisfying teaching criteria and competences at the various functional levels is crucial in terms of eligibility for promotion to the next salary scale or job grade.

The Teaching Institute of the UMCG has the financial resources and expertise to help staff develop their professional skills. Every new employee receives two days of Tutor Training when they join the UMCG. In addition, staff may follow more specific courses geared to their individual teaching roles.

The UMCG is also developing a system for teaching qualifications. This will involve the definition of teaching competences, the introduction of an assessment system for those competences, and the development of a dedicated training programme. When these measures are in place, they will obviously be used for professionalizing tenure-track staff.

**Training sessions and courses**
These include:
- Teacher training for the development of teaching skills
- Professionalizing of and career development for academic staff by means of courses designed to enhance skills and expertise
The UMCG is also working on a “Professionalization and Development Programme” for tenure-track staff. This is a compulsory training programme specifically designed for staff appointed to tenure-track positions.

**Skills acquisition and refresher programmes for managers**

Previous sections have described management professionalization. A summary of the planned courses of action will now follow:

- Development/ provision of training programmes aimed at the teaching of coaching and integrated management skills (personnel, finance and management) to those in positions of authority
- At an early stage in their career, PhD students and postdocs will be encouraged to follow courses in management skills, such as project management, presentation skills, staff supervision, writing project proposals, etc.
- Management skills will be included as an essential part of the assessment criteria for career promotion.

**Outplacement**

The UMCG has an active outplacement policy that aims to provide assistance in finding alternative employment for staff who have not been able to meet the requirements for an academic career. The services of careers-advice bureaus may be used for this purpose.
4. Appointment and promotion criteria for tenure-track staff

This section describes the requirements for academic positions (results areas) and sets out how staff will be assessed for important promotions. The section also describes the selection procedure for the various appointment/promotion advisory committees (BACs/PACs) that carry out the individual assessments and advise the Management Board on appointments, promotions or nominations for professorial appointments by the Executive Board.

The criteria apply to all quantifiable aspects of a scientist’s performance. In cases where such quantitative requirements can be defined (e.g. number of publications per year, research funding), they shall be minimum requirements. A BAC is free to impose stricter requirements, for example in subdisciplines where the number of publications is above the average. One condition is that the member of staff being considered for promotion is aware of the higher requirements at the beginning of the assessment period. A BAC is also free to nominate candidates/staff who do not satisfy a certain criterion for appointment or promotion, on condition that the candidate/member of staff more than satisfies the other criteria and that the BAC has detailed and convincing arguments as to why the failure to meet the particular criterion is nevertheless acceptable. The Management Board will decide whether the arguments for not meeting a certain criterion are acceptable.

In the case of part-time appointments and special leave (maternity leave, parental leave, etc.), it may be possible to extend the amount of time between the assessment stages.

The BACs base their decisions partly on the evaluation of the core competencies (see the criteria below and Appendix 1). The Management Board may ask a candidate to undergo an assessment if there is doubt as to whether he/she has the required competencies. When applying for promotion or for a job, the candidate is obliged to agree to this request, should it be necessary.

4.1. Procedure and criteria for selection tenure-track and appointment as Researcher 3 (Phase A:)*

Appointment Advisory Committee (BAC)
The BAC shall be set up by the Management Board and shall have seven members, preferably including at least one woman, and usually with the following participants:

- BAC chair: a member representing the UMCG Management Board
- the academic director of the relevant research school
- the director of the teaching institute
- the chairman of the relevant discipline group
- the candidate’s (future) immediate superior

A personnel adviser from P&O will also join the committee.

* The general RUG procedure for selecting candidates for the Rosalind Franklin Fellowships may differ from the procedures described here.
**Procedure**

1. Potential candidates are nominated to the Management Board by/ via the chairman of the discipline group.
2. The Management Board asks the chairman of the discipline group or the director/ manager of the unit in question to submit a structural report (1-2 x A4) for the tenure-track position in consultation with the research director.
3. The Management Board approves the structural report and appoints a BAC.
4. The BAC submits a list of nominations to the Management Board based on each candidate’s CV, research plan, references, a public lecture and an interview with the BAC. The BAC may also ask the candidates to give a short presentation about his/ her research plan.
5. After approval by the Management Board, the candidate is appointed and written agreements are drawn up with regard to the nature of the appointment, the tenure-track system and the assessment stages.

**Criteria**

**Minimum requirements:**

- PhD
- first author of at least four articles relating to the PhD research
- several years’ experience as a postdoc (at least 1 year)
- at least 3 articles per year as first or last author in the postdoctoral position. If the candidate is the first author of one or more articles, this may be an indication that he/ she has the capacity to carry out innovative research
- demonstrable affinity with academic/scientific education.

The following will also count in the candidate’s favour:

- experience abroad
- successful funding applications
- definition of own research profile
- management skills

N.B. Researchers who have been awarded a VENI grant under the Innovational Research Incentives Scheme of the NWO can be nominated on that basis for a tenure-track appointment.
4.2. Procedure and criteria for promotion to tenure-track position University Lecturer (Phase B)

Assessment Advisory Committee (AAC)
The AAC shall be set up by the Management Board five months before the end of Phase A, and shall have no more than seven members, preferably including at least one woman, and usually with the following participants:

- a representative of the Management Board
- the academic director of the relevant research school
- a University Senior Lecturer or Professor from the same or a related discipline
- the chairman of the relevant discipline group

A personnel adviser from P&O will also join the committee. The immediate superior (if this is not the chairman of the discipline group) will be consulted. The director of the teaching institute will also be consulted at this stage.

Procedure

1. The BAC investigates the results and performance of the researcher, for example by asking the researcher to compile a report of work carried out.
2. The BAC recommends one of 3 alternatives to the Management Board
   a. the researcher is promoted to the position of UD1
   b. the researcher does not yet fulfil the promotion criteria, and his/her appointment as Researcher 3 will be extended by 2 years
   c. the researcher does not meet the requirements. The contract will not be extended.
3. The Management Board will make the decision no later than three months before the appointment ends.

If the candidate is not promoted to University Lecturer1 within the meaning of 2.b., he/she will be assessed again after two years. If the result of the second assessment is unsatisfactory, the candidate’s contract will not be renewed.

N.B. The BAC must report back to the Management Board on the assessment result for all relevant criteria.

Criteria
The assessment criteria are largely based on the UFO profile for the Researcher 3 position, namely the requirements that apply to a tenure-track researcher.

Performance of research:
The staff member has carried out independent research in the context of the relevant tenure-track structural report. His/her research contribution is demonstrated in research reports (written independently or with other researchers) and as the first or last author of at least 10 articles published in academic journals. The publication of articles in journals
with an impact factor higher than 10 is regarded as an outstanding contribution. This criterion also includes contributions to conferences (papers and lectures).

The candidate shares knowledge with researchers in the Netherlands and abroad who work in the same field or a related field.

Research co-ordination:
The researcher has clearly defined and structured his/her own research area within a wider programme, in consultation with the project leader and in co-ordination with the professor involved.

Contract research
The researcher has contributed to obtaining 2nd and 3rd-stream funding for his/her own research or the research of others, for example through successful grant applications.

Affinity for teaching
The researcher has a demonstrable affinity for teaching that is evident from activities such as supervising groups (e.g. as a tutor, mentor or coach), or guiding students in other settings (practicals, skills training or individual supervision). The researcher has experience as an examiner.

The following competencies are important in this phase*

**Creativity:** thinks up original solutions to problems, combines knowledge and understanding from various perspectives into something new. Is able to ‘think outside the box’, and recognise and respond to opportunities. Is proactive rather than reactive.

**Communication skills:** receives and gives feedback from and to colleagues. Contributes to wide-ranging intellectual discussions. Critically evaluates his/her own performance and positions, and is open to the views of others.

**Collegiality:** helps to achieve a shared goal, even if this is not directly related to his/her own responsibilities.

**Planning and organization skills:** has an overall view of (own) activities, plans them well, indicates the time to be spent and keeps to it. Sets priorities and lists the required tasks, time and resources. Is able to evaluate planning and progress. Is able to incorporate decision-making stages into the planning of a project or task, and clearly strives to achieve a balance between quality and quantity.

4.3. Procedure and criteria for promotion to University Senior Lecturer 2 / Associate Professor (Phase C1)

Assessment Advisory Committee (AAC)
The AAC shall be set up by the Management Board six months before the end of Phase B and shall have no more than seven members, preferably including at least one woman, and usually with the following participants:
- BAC chair: a member representing the Management Board

* See Appendix 1 for the full list of competences.
- the academic director of the relevant research school to which the tenure-track University Lecturer belongs
- the director of the teaching institute
- a professor (preferably external) or University Senior Lecturer from a related subject field
- a student
- the chairman of the relevant discipline group
- as appropriate, a member of the Board of Management of the former AZG, if the staff member was appointed before the creation of the UMCG.

A member of the Management Board will also join the committee to provide administrative support. The immediate superior (if this is not the chairman of the discipline group) will be consulted.

Procedure
1. The AAC investigates the results and performance of the University Lecturer, for example by asking him/her to compile a report of his/her work, by obtaining information from at least five referees (University Senior Lecturers or Professors) within and outside the UMCG. At least three of these referees must give a positive assessment of the member of staff, without reservations.
2. The AAC recommends one of two alternatives to the Management Board
   a) the University Lecturer is appointed to the tenure position of University Senior Lecturer 2 and is recommended to the Executive Board for promotion to the position of Associate Professor.
   b) The University Lecturer does not meet the requirements. The contract will not be renewed. In principle, the UMCG will assist the candidate in finding alternative employment outside the Medical Faculty (FMW).
3. The Management Board will make the decision no later than three months before the appointment ends. If the staff member is recommended for promotion to the position of Associate Professor, the Management Board will ask the chairman of the discipline group or the director/manager of the unit in question to produce a structural report in consultation with the research director.

N.B. The AAC must report back to the Management Board on the assessment result for all relevant criteria.

Criteria
The assessment criteria are largely based on the UFO profile for the position University Lecturer 1, namely the requirements that apply to a tenure-track researcher. This stage of the assessment also establishes whether the candidate has the potential to develop into a guiding and inspiring leader.

Performance of research
The candidate has a clear and productive research profile within the research programme in which he/she is taking part. The member of staff must function well in the

* See Appendix 1 for the practical aspects of this competence.
discipline group and make a significant contribution to the performance and coherence of the research programme and to the organizational tasks of the discipline group. Genuine contributions to national and international academic symposia and conferences.

**PhD supervision**
The member of staff is the independent supervisor of at least two PhD candidates, or has supervised them to the completion of their degrees.

**Acquisition from 2nd and 3rd-stream funding**
During the past five years, the staff member has obtained at least one substantial grant from the 2nd or 3rd stream. This concerns an independent application with the staff member acting as ‘principal investigator’ (PI).

**Publications**
The candidate has published at least 25 articles (as the first or last author) in academic journals that are in the top 10% of the discipline. In the past three years, the candidate has published at least four articles per year in international peer-reviewed journals. Articles published in journals with an impact factor higher than 10 count as an outstanding contribution.

The importance of the member of staff’s research must be recognised by his/her colleagues, and demonstrated by, for example, prizes, decorations, membership of the editorial board of specialist journals, invitations to speak, participation in international commissions.

**Teaching performance**
The candidate devotes a substantial amount of time to teaching, for example, teaching existing course components such as patient/response/g general lectures. The candidate performs teaching tasks well, as demonstrated by student evaluations.

**Curriculum development**
The member of staff has introduced demonstrable improvements in, for example, learning materials or working methods or, on the basis of a careful analysis that can be evaluated by others (departmental committee, teaching institute), has come to the conclusion that this was not appropriate in the period under consideration.

**Curriculum organization**
The staff member has a clear understanding of how the UMCG’s curriculum is organized. He/she makes an efficient and effective contribution to the teaching processes in which he/she is involved, as demonstrated by, for example, curriculum development, membership of a course committee, board of examiners, or project group.

**Professionalization**
In addition to the basic training in didactic skills, the candidate has followed a number of role-specific training programmes for teaching staff.
Competencies:

**Creativity:** the member of staff is able to devise original solutions for scientific and other problems and to combine several lines of approach/insights into something new.

**Communication skills:** the member of staff is able to give and receive feedback to and from colleagues, support/technical staff, and students. He/she can critically evaluate his/her own behaviour and standpoints and is receptive to the views of others.

**Guiding and inspiring leadership:** the member of staff directs individual members of staff, among other things by setting goals. The member of staff stimulates and instructs others to complete these tasks and fulfil these responsibilities to the best of their ability.

**Strategic activities:** translates the long-term vision into concrete goals and realizes them by guiding and managing within the organization.

**Didactic qualities:** has didactic knowledge relevant to the subject, has an overall view of work and test types and insight into their possibilities, is able to develop learning situations, has insight into didactic problems in the material, develops teaching material, is able to evaluate own teaching performance.

N.B. A tenure-track University Lecturer who has successfully applied for a VIDI grant under the NWO Innovational Research Incentives Scheme can apply to the Management Board to be considered for admission to Phase C1.
4.4. Procedure and criteria for promotion to tenure-track position University Senior Lecturer 1/ Associate Professor (Phase C2)

Assessment Advisory Committee (AAC)
The AAC shall be set up by the Management Board five months before the end of Phase C1 and shall have no more than seven members, preferably including at least one woman, and usually with the following participants:

- AAC chair: a member representing the Management Board
- the academic director of the relevant research school
- the chairman of the relevant discipline group

A personnel adviser from P&O will also join the committee. The director of the teaching institute and the immediate superior (if this is not the chairman of the discipline group) will also be consulted.

Procedure
1. The AAC investigates the results and performance of the researcher, for example by asking the researcher to compile a report of work carried out.
2. The AAC recommends one of two alternatives to the Management Board
   a) the University Senior Lecturer / Associate Professor is promoted to the position of University Senior Lecturer 1 and retains the title of Associate Professor.
   b) The University Senior Lecturer 2 /Associate Professor does not yet meet the promotion requirements, and his /her appointment is extended for a period of 2 years with retention of the title of Associate Professor.
3. The decision is made by the Management Board.

If the member of staff is not considered eligible for promotion to University Senior Lecturer 1, he/ she will be assessed again after two years. If the person still does not fulfil the requirements after the second assessment, he/ she will no longer participate in the tenure-track system. The candidate remains as a University Senior Lecturer 2, and retains the title of Associate Professor for one further year.

N.B. The AAC must report back to the Management Board on the assessment result for all relevant criteria.

Criteria
The candidate’s progress in the position of University Senior Lecturer is an important factor in determining whether he/ she is suitable for promotion to University Senior Lecturer 1.

Research
The candidate has a clearly defined and productive research profile. The staff member functions well within the discipline group. He/ she co-ordinates and is responsible for the
realization of related research projects that are part of the programme, or is responsible for a longer-term specialist project within the research school or institute.

**PhD supervision**
Provides effective joint supervision for PhD students, and also acts as an independent supervisor.

**Acquisition from 2nd and 3rd-stream funding**
During the past few years, the member of staff must have gained at least two substantial research awards from the 2nd or 3rd stream (e.g. for a PhD or postdoc place, or an equivalent investment grant). This concerns an independent application with the member of staff acting as 'principal investigator' (PI).

**Publications**
During the past two years, the staff member has published at least four articles (per year) as the first or last author in peer-reviewed journals. An article in a leading journal with an impact factor higher than 10 is regarded as an outstanding contribution.

**Teaching performance**
The member of staff devotes at least 30% (clinicians: 10%) of his/her working hours to teaching, calculated according to the UMCG medical-science norms. Teaching must be of a high standard, as shown in evaluations by students and assessments by the relevant teaching institutes. The member of staff is an enthusiastic and efficient lecturer, has didactic knowledge relevant to the subject, an overall view of work and test types, and insight into their possibilities. The member of staff has sufficient knowledge of Dutch and English to teach properly in both languages.

**Curriculum development**
The member of staff has introduced demonstrable improvements in, for example, learning materials or working methods or, on the basis of a careful, independent (departmental committee, teaching institute) analysis, has reached the conclusion that this was not appropriate in the period under consideration. The staff member may also have made a demonstrable contribution to activities at programme level, for example, curriculum renewal projects.

**Curriculum organization**
The member of staff must contribute efficiently and effectively to the smooth running of the educational processes in which he/she is involved. This may be evident from:
- active stimulation of the teaching activities of colleagues
- stimulating contribution to educational management, for example through membership of a course committee or curriculum committee
taking responsibility for the successful organization and implementation of a curriculum renewal project.

Organization
The staff member has taken on executive and/or managerial tasks that extend beyond the discipline group.

The member of staff has helped to maintain a good working atmosphere and team spirit, and has contributed to the discussion and distribution of duties within the department of which he/she is head or joint head.

Competencies:
Guiding and inspiring leadership: directs and guides both groups and individual employees, among other things by setting targets, by creating and maintaining effective co-operations and by allocating/transferring responsibilities and powers in the appropriate way, thus stimulating and instructing the other person in how to perform these tasks and responsibilities properly. Is able to explore staff needs in terms of development and makes every effort to increase their professional skills.
Vision: can stand back from everyday actuality; concentrates on the main criteria and on long-term policy.
Strategic activities: translates the long-term vision into concrete goals and realizes them by guiding and managing within the organization.
Communication skills: gives and receives feedback to and from colleagues, contributes to intellectual discussions in the broadest sense. Is able critically to evaluate his/her own behaviour and standpoints and is receptive to those of others.
4.5. Procedure and criteria for promotion to Professor 2 (Phase D)

Assessment Advisory Committee (AAC)
The AAC shall be set up by the Management Board six months before the end of Phase C2 and shall have no more than seven members, preferably including at least one woman, and usually with the following participants:
- AAC chair: the Dean
- the academic director of the research school to which the tenure-track University Senior Lecturer belongs
- the director of the teaching institute or a professor with a specific teaching task
- at least one external expert (professor)
- a student
- the chairman of the relevant discipline group

A staff officer of the Management Board will also join the committee to provide administrative support. The immediate superior (if this is not the chairman of the discipline group) will be consulted.

Procedure
1. The Management Board appoints a Promotion Advisory Committee (PAC) six months before the end of the three-year period.
2. The chairman of the discipline group will be asked to compile a structural report in consultation with the relevant directors of research and teaching.
3. The Management Board submits the structural report to the Executive Board.
4. The AAC investigates the results and performance of University Senior Lecturer/Associate Professor, for example by asking him/her to compile a report of work carried out.
5. The AAC recommends one of 2 alternatives to the Management Board
   a. Recommendation to the Executive Board for promotion to Professor 2
   b. Continuation in the position of University Senior Lecturer 1/ Associate Professor for 3 years.
6. The Management Board takes a decision on the recommendation to the Executive Board, discusses the possible appointment with its sister faculties, and then requests the Executive Board to make the appointment.

If the promotion to Full Professor 2 is turned down, the member of staff has the right to be reassessed for promotion after three years. If the promotion is turned down on the second occasion, the candidate will continue in the position of University Senior Lecturer 1. In such cases, the member of staff will retain the right to supervise PhD candidates for 3 years.

* N.B. The AAC must report back to the Management Board on the assessment result for all relevant criteria. 
Criteria
In order to be considered for promotion to Professor 2, the member of staff must have a national and international reputation in his/her field. A high academic standard will be the decisive factor. Considerable emphasis will be placed on competences, in particular the competence ‘guiding and inspiring leadership’.

Performance and co-ordination of teaching
The member of staff must have a clear and original line of research within the research programme of the discipline group. The research profile can be demonstrated by an outstanding VSNU assessment, among other things. The member of staff functions well in the discipline group and makes a significant contribution to the execution and coherence of the research programme and the organizational tasks of the unit, research school or institute. The member of staff maintains international contacts and participates in joint ventures, demonstrated among other things by joint publications and working visits.

Supervising PhD candidates
In the six years preceding the assessment, the member of staff has independently supervised at least four PhD students, whose research was completed within the specified period.

Acquisition of 2nd and 3rd-stream funding
During the past ten years, the member of staff must have obtained at least three substantial research awards from the 2nd or 3rd stream (e.g. for a PhD or postdoc place, or an equivalent investment grant). This concerns an independent application with the member of staff acting as ‘principal investigator’ (PI).

Publications
Each year, researchers are expected to publish at least 4 articles, as the first or last author, in international peer-reviewed journals. The articles must constitute a substantial and original contribution to the field in question. Articles published in leading journals with an impact factor higher than 10 are regarded as an outstanding contribution. The importance of the member of staff’s research for his or her particular line of research must be recognised by his/her colleagues, and demonstrated by, for example, prizes, rewards, membership of the editorial board of specialist journals, invitations to speak, participation in international commissions, high citation frequency of published research.

Teaching performance
The staff member devotes at least 30% (clinicians: 10%) of his/her working hours to teaching, calculated according to the UMCG medical-science norms. Teaching must be of a high standard, as shown in evaluations by students and assessments by the relevant teaching institutes.
The member of staff is an enthusiastic and efficient lecturer, has didactic knowledge relevant to the subject, an overall view of work and test types, and insight into their possibilities. The member of staff has sufficient knowledge of Dutch and English to teach properly in both languages.

**Curriculum development**
The member of staff has introduced demonstrable improvements in, for example, learning materials or working methods or, on the basis of a careful analysis than can be tested by others (departmental committee, teaching institute), has reached the conclusion that this was not appropriate in the period under consideration.

**Curriculum organization**
The member of staff must contribute efficiently and effectively to the smooth running of the educational processes in which he/she is involved. The member of staff has made a demonstrable and successful contribution to curriculum management. This may be evident from:
- membership of a course committee or curriculum committee
- active stimulation of the teaching activities of colleagues
- training or supervision of teaching staff with regard to curricular activities
- an active role in national and international educational organizations
- activities at programme level, for example, co-ordination or supervision of curriculum renewal projects.

**Professionalization**
The member of staff uses state-of-the-art and varied teaching materials, which firmly place the discipline in its scientific and social context. After due consideration (in consultation with the course director), the member of staff has participated in professionalization activities such as workshops, seminars, faculty education days, etc. for an average of 4 half-days per year. The member of staff is receptive to criticism from students and colleagues about his/her functioning.

**Personnel and organization policy**
The member of staff has conducted annual performance and appraisal interviews with the staff for whom he/she is responsible and has investigated their career prospects. The member of staff has participated in advisory committees or other committees relating to the organization of the curriculum and research in the faculty or institute. The member of staff has attended a course on ‘coaching leadership’. The member of staff has helped to maintain a good working atmosphere and team spirit, and has contributed to the discussion and delegation of duties within the discipline group of which he/she is head or joint head.

**Competencies:**
**Guiding and inspiring leadership:** directs and guides both groups and individual members of staff, among other things by setting targets, by creating and maintaining effective co-operations and by allocating/transferring responsibilities and powers in the
appropriate way. Stimulates and instructs others to complete these tasks and fulfil these responsibilities to the best of their ability. Explores the development needs of staff and makes every effort to lift their professional skills onto a higher level.

**Strategic activities**: translates the long-term vision into concrete goals and realizes them by guiding and managing within the organization.

**Integrity**: is able consistently to adhere in word and deed to generally accepted social and ethical norms in respect of staff and colleagues. Is approachable in this regard and able to raise the subject with others.

**Commitment**: accepts and implements decisions made within the organization.
Appendix 1: Competences

Overview of competences for tenure-track staff at the UMCG (taken from the FWN list).

Academic quality (research and teaching)
1. Vision
2. Strategic activities
3. Didactic qualities
4. Creativity

Management/Communication
5. Guiding and inspiring leadership
6. Communication skills

Co-operation (internal/external)
7. Collegiality
8. Integrity

Operational effectiveness
9. Planning and organization skills
10. Commitment

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Academic quality
1. **Vision**: can stand back from everyday actuality; concentrates on the main criteria and on long-term policy.
2. **Strategic activities**: translates the long-term vision into concrete goals and realises them by guiding and managing within the organization.
3. **Didactic qualities**: has didactic knowledge relevant to the subject, has an overall view of work and test types and insight into their possibilities, is able to develop learning situations, has insight into didactic problems relating to the material, develops teaching material, is able to evaluate own teaching performance.
4. **Creativity**: comes up with original solutions to problems, combines several lines of approach/insights into something new, can let go of existing methods and step back from daily practice, can recognise chances and respond to them. Is proactive rather than reactive.

Leadership qualities
5. **Guiding and inspiring leadership**: directs and guides both groups and individual employees, among other things by setting targets, by creating and maintaining effective co-operations and by allocating/transferring responsibilities and powers in the right way, thus stimulating and instructing the other person in how to perform these tasks and responsibilities properly. Is able to explore staff needs in terms of development and makes every effort to increase their professional skills.
6. **Communication skills**: gives and receives feedback to and from colleagues, contributes to intellectual discussions in the broadest sense. Is able critically to evaluate his/her own behaviour and standpoints and is receptive to those of others.

**Co-operation (internal/external)**
7. **Collegiality**: contributes to a joint result, even when the co-operation concerns a subject that is not directly related to his/her own task.
8. **Integrity**: consistently maintains generally accepted social and ethical norms in both word and deed towards employees and colleagues. Is approachable on this point and tackles others on it.

**Operational effectiveness**
9. **Planning and organization skills**: has a clear overview of tasks and responsibilities (self and others), and is able to plan these, indicate the time required and keep to it. Sets priorities and lists the required tasks, time and resources. Is able to evaluate planning and progress. Is able to incorporate decision-making stages into the planning of a project or task, and clearly strives to achieve a balance between quality and quantity.
10. **Commitment**: accepts and implements decisions made within the organization.