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## **Introduction**

The quality of VU's professorial staff is one of the factors that determine the university's ability to realize its educational and research goals. Professors are, after all, mainstays of the teaching and research activities undertaken at the University. Furthermore, the excellence of professorial performance has a major bearing on the University's image and reputation as a research university. The University's professorship policy is therefore intended to assure and enhance the quality of its professorial staff.

The Professorship Policy Memorandum 2009-2013 was defined in 2009. At the request of the Rector's Office, the memorandum was reviewed in 2011, leading to certain modifications to the University's professorship policy. The Professorship Policy Memorandum 2011-2015 is the product of that process and therefore builds upon the University's previously defined policy. To complement the University-wide professorship policy, the various faculties also defined professorship policies in 2009. The faculty memoranda will need to be updated and aligned with the new University memorandum, particularly with regard to the specification of assessment criteria. Amendment of faculty memoranda is to be completed in the first quarter of 2012.

VU aspires to be a leading research university and to attain a high position in the European and global rankings. To that end, VU is committed to further concentrating its research activities within a number of focus areas and to interdisciplinary collaboration amongst faculties through research institutes. That strategy provides a basis for the existence of research fields with sufficient focus and mass, enabling VU to project itself more effectively and raise its public profile. VU also aims to excel in the education it provides. The honours programmes for talented students, the Amsterdam University College and the research Master's programmes are expressions of that intention. The University's ambitions in that area are set out in the VU Amsterdam Strategic Plan 2011-2015.

Meanwhile the basic funding available to universities from the government is contracting, at least in relative terms, and research funds must be secured in an increasingly competitive environment. Moreover, the government funding that is available is increasingly linked directly to particular individuals, as with the Veni, Vidi, Vici grants and ERC grants.

Consequently, as well as excelling in their academic performance, professors must also be result-focused, capable of securing funding, and able to attract, motivate and retain talented students and academic staff. Furthermore, it is necessary to invest in the development of a university environment, in which academics want to work, young talent can readily be attracted and high-profile staff with established reputations can be recruited and/or retained.

Central to this memorandum are the quality of the individual professor and the quality of the appointments process. However, those matters cannot be considered in isolation from the University's policies on talent recruitment and development, internationalization and diversity.

The structure of the memorandum is as follows. The first section is devoted to the principles that determine and shape the University's professorship policy. On the basis of those principles, a number of requirements and assessment criteria are set out, which apply throughout the university and are designed to assure the quality of professorial staff and the appointment process. The second section describes the appointment procedure and considers the quality requirements applicable to the dossiers and to the decision-making process.

It should be noted that VU's professorship policy is constantly developing. So, for example, the various programme committees within the University are currently discussing and defining policy on career paths for outstanding academics, which address the need for differentiation between educational and research roles; meanwhile, programmes are being developed with a view to attracting and/or retaining people of exceptional talent. Constant policy development is also needed in order to be ready for developments in the university sector and the wider world.

## 1. Policy and principles

VU's professorship policy serves primarily to assure and enhance the quality of the professorial staff. The principles underpinning the professorship policy are set out in the following paragraphs. The collective agreements, the assessment criteria applicable in the appointment of professors and endowed professors, the appointment procedure and the dossier compilation requirements all derive from the principles described.

### 1.1 Professor and endowed professor

#### *Definitions*

VU's professorial staff is made up of endowed professors and professors. The clear-cut application of these titles aids transparency and comparability, both between faculties and between the University and the outside world. Formal definitions apply to both roles. To prevent the uncontrolled proliferation of endowed professorships, the University has adopted the rule that the number of endowed professors must not exceed the number of professors.

#### *Definitions of 'professor' and 'endowed professor'*

A professor<sup>1</sup> is an employee of VU, who performs (core) educational and research functions (and, in appropriate cases, patient care functions) within a discipline, to which attention is devoted over an extended period, which is well-established and which is a determinant of the faculty's and University's educational and research strategies.

An endowed professor is not employed by VU, but is paid by an external body to perform educational and research functions within a discipline that is of (temporary) social and/or academic significance and of value to the University.

#### *Job size/workload*

By definition, a professorship involves educational and research functions (and, in appropriate cases, patient care functions) within a discipline, to which attention is devoted within the University over an extended period, which is well-established and which is a determinant of the faculty's educational and research strategies. The performance of those functions is possible only within the context of a job of a certain minimum size.

Endowed professors are not university employees; an endowed professorship is a smaller role than a professorship, with a lighter workload. Within VU, the following parameters apply:

- Size of professorship:  $\geq 0.4$  FTEs<sup>2</sup>
- Availability of an endowed professor: equivalent to  $< 0.4$  FTEs
- If a role involves a workload equivalent to  $\geq 0.4$  FTEs, the role cannot take the form of an endowed professorship and must be realized in the form of a sponsored or unsponsored professorship

#### *Combined positions not allowed*

It is not desirable that an individual holds both an associate professorship and a professorship within the same organizational unit (i.e. faculty); such arrangements are not therefore allowed.

A professor is expected to perform all aspects of the role and to operate exclusively at professorial level.

Similarly, it is not permissible to combine an associate professorship with an endowed professorship within the same organizational unit. The following rules have been agreed:

- The combination of an associate professorship with a professorship or endowed professorship within the same faculty is not allowed.
- A dispensation is possible if, at the conclusion of an open recruitment process, an associate professor within a faculty is judged to be the best candidate for an endowed professorship within that same faculty.

<sup>1</sup> The term 'professor' has been chosen in preference to 'ordinary professor' primarily for consistency with current UFO nomenclature. It is nevertheless accepted that the term 'ordinary professor' will continue to be used in everyday contexts.

<sup>2</sup> No dispensation is required for VU University Medical Center posts in the size range 0.8-1.0 FTE, of which 0.3-0.4 FTEs is paid at a professorial rate.

## 1.2 Who can become a professor?

In relation to the question of who may become a professor, two considerations play a role: (1) the performance requirements associated with professorial status and (2) the need for the transparent evaluation of compliance with such requirements.

In relation to the first of those considerations, the following points are relevant. With a view to assuring the quality of its professorial staff, VU previously defined a number of minimum requirements applicable to all professors and endowed professors. However, the definition of minimum requirements is not sufficient for fulfilment of the University's ambition to attract the best academic talent. Hence, there is a wish to create opportunities for the differentiation of academic career pathways, so that scope is created for the definition of various academic talent profiles, e.g. profiles that emphasize education and/or research. To that end, it is necessary that scope exists for the comparative assessment of performance in such fields.

In relation to the second of the considerations mentioned above (the need for the transparent evaluation of professorial candidates' performance), it must be recognized that people outside a given discipline cannot evaluate or assess performances if standards based on benchmarking within the faculty/discipline are not available.

The requirements applicable to professors are those contained in the UFO profile<sup>3</sup> of the role of professor, as defined by the VSNU; no corresponding profile of the role of endowed professor is available. From the UFO 'Professor' profile, a number of requirements/result fields have been selected, which VU considers applicable to all professors and endowed professors. However, such a set of minimum requirements cannot adequately define the performance quality requirements applicable to a professorship or endowed professorship. The definition of performance quality requirements is a complex undertaking, because such requirements inevitably differ from one academic domain or discipline to the next. The faculties are currently updating their faculty professorship policies to specify how the defined set of requirements/result fields is to be operationalized and standardized in an evaluable, benchmark-based form within the faculty (insofar as that is not already the case). The latter initiative is intended to facilitate evaluation both within the faculty and more widely. Thus, the following policy has been defined:

- The set of requirements/result fields is: doctorate, demonstrable performance in the field of education, demonstrable performance in the field of doctorate study supervision, relevant academic publications, demonstrable performance in securing external funding, demonstrable leadership qualities and demonstrable social performance (technology transfer - valorization).
- The above requirement set is further operationalized in the form of objective criteria in the factsheets for humanities/social sciences and science/medical (Appendix 3).
- In their faculty professorship policies, the faculties have provided a benchmarking-based scale, against which the individual performance of current and future professors and endowed professors may be measured.
- The factsheet provides for the insertion of explanatory information regarding the assessment of the various aspects of performance, both mutually and in relation to the faculty scale.

## 1.3 Open international recruitment and talent policy

The guiding principle of VU's talent policy is that the nominee for a professorship should always be the best-qualified candidate. To that end, it is important to know where to look for the most talented people in the various academic fields and to endeavour to make competition for professorships as open as possible. In support of those aims, the university applies various principles and uses various mechanisms, which are described below.

### *Open international recruitment is the norm*

Open international recruitment is the norm, because the University believes that it is the best way to identify the most suitable candidate. It would perhaps be more accurate to say that open *searching* is the norm, since the scarcity of top people necessitates a proactive approach and international networking. That in turn requires a professional strategy, involving an explicit commitment to identifying and attracting people with a range of talents, from all over the world. Recruitment based on specific, narrow profiles tailored to preferred (or previously approached) candidates does not constitute open recruitment. Under certain circumstances, it may be appropriate to seek to recruit a particular

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<sup>3</sup> The Positions and University Job Ranking system (Dutch initials: UFO) was introduced in 2003. The UFO classification tool is available at VUnet > UFO.

individual; however, under such circumstances, dispensation for a closed recruitment procedure should be sought from the Rector's Office before the process is initiated.

#### *Tenure and career track leading to professorship nomination<sup>4</sup>*

Open recruitment can sometimes frustrate efforts to retain outstanding associate professors. The retention of such personnel is often linked to the ability to offer inducements and clear career perspectives. Tenure tracks and career tracks have been developed to resolve this issue. Tenure tracks anticipate the identification and attraction of promising academic talent from outside the University or working at the University on temporary contracts. Measurable academic performance and recruitment targets are agreed with individuals identified as high-achievers. In return for meeting the targets, the tenure tracker is offered a permanent post and a nomination (in this case, a nomination for a professorship). Similar arrangements can be made with permanent VU personnel. The offer of a permanent post is irrelevant in such cases, but a professorship nomination is normally part of one of these 'career track' arrangements. The professorship policy allows scope for such tracks. Dispensation from the open recruitment requirement is possible in circumstances where a tenure or career track arrangement has been recorded in the appropriate central register administered by the General Secretary to the College of Deans. An internal candidate with whom such an arrangement has been made should be registered at least three years before being nominated, in accordance with the procedure described in Appendix 2. An external candidate should be registered at least one year before being nominated. The substance of a tenure or career track arrangement is not subject to review by the Rector's Office, but any departure from the prescribed procedure requires the prior approval of the Rector's Office. In the context of talent retention, it is important to recognize that a university that does not 'supply' talent to other top institutes around the world cannot itself claim to be a top institute. In its Strategic Plan 2011-2015, the University stated that its ambition was that 25 per cent of its academic staff – including its most senior staff – would be of non-Dutch origin. (In 2010 7 per cent of professors were of non-Dutch origin.)

#### *Five-year appointments<sup>5</sup>*

In connection with the defined tracks, the option of a five-year appointment can also be regarded as an important component of talent policy. A five-year appointment is a tool that allows for rapid action in anticipation of labour market conditions and the funding of temporary professorships using, for example, contract funding. It also facilitates advancement of the best associate professors within the university. Furthermore, agreeing measurable targets and making temporary appointments mitigates the risks to quality and financial stability. If the agreed results are achieved, a five-year post-holder may be awarded a further five-year contract or a permanent contract.

#### *Summary:*

- Open recruitment is the norm.
- Five-year appointments, tenure track arrangements and career track arrangements can be used by the faculties to build their talent policies.
- Dispensation from the open recruitment requirement may be given to allow the appointment of an internal candidate (typically an associate professor) with whom a career/tenure track arrangement has been made and registered with the General Secretary to the College of Deans at least three years beforehand.
- Dispensation from the open recruitment requirement may be given to allow the appointment of an external candidate who is without question demonstrably a leading academic or an image-defining individual (professor and endowed professor) in a strategically significant discipline for the University.
- The AAC report regarding an appointment must specify the recruitment strategy adopted, the number of responses received, the number of candidates invited for interview and the characteristics of the applicants (male/female, internal/external, nationality etc; see Appendix 4).

### **1.4 The Appointments Advisory Committee (AAC)**

The AAC plays a key role throughout the professorial appointment process; its functions include recruiting and selecting candidates. Therefore, with a view to optimizing the quality of the nomination, it is important that the AAC is carefully assembled and that its members operate as impartially and independently as possible. Hence, the composition of the AAC must satisfy the following conditions:

- Chair: dean or a professor/departmental head (not from the appointing department)
- 1-2 senior professors (not from the appointing department)

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<sup>4</sup> VUnet > Tenure track (text in Dutch)

<sup>5</sup> VUnet > Temporary professorial appointments

- 1-2 members of the academic staff of the appointing department or a related department (professors or associate professors)
- Director of iOZI (Interdisciplinary Research Institutes), if the appointment is in the relevant discipline
- Operations Director and/or Personnel Consultant
- A member of any other VU faculty whose activities interface with the discipline in which the appointment is to be made
- At least two female members
- 1-2 external (i.e. non-VU) academic advisers, preferably professors, with expertise in the relevant academic field<sup>6</sup>
- A student as an advisory external member (optional)
- In the case of an endowed professorship: no more than one representative of the sponsor

### 1.5 Safeguarding independence

Academics occupy an important position in society and their professional independence should be beyond doubt. Any conflict of interests, or even the appearance of such a conflict, must be avoided; at the very least, transparency and openness are required. The registration and publication of ancillary activities is therefore obligatory.<sup>7</sup> Such matters require particularly close attention where a professor or endowed professor will receive remuneration provided by a sponsor. The implementation of the professorship policy must take account of following points:

- Open recruitment is of evident importance in these situations.
- The AAC must not include more than one adviser representing the sponsor.
- A sponsor must not have any involvement in research or publications.
- Complete disclosure of all sponsorships is required, including the provision of details in any publication by the sponsored professor.
- The letter covering a nomination must always include details of the funding and remuneration of an endowed professorship.

The following additional points apply to the appointment of endowed professors:

- The curatorial panel must not include more than one representative of the sponsor.
- In all circumstances where a formal authoritarian relationship exists between the establishing body and a prospective endowed professor, the chair is to be created by the VU University Fund Foundation with an explanatory note, such as 'made possible by [external body]'<sup>8</sup>.

### 1.6 Gender diversity

VU believes that it is important to create optimum conditions for encouraging women to choose an academic career and nurturing female talent. Although there is ample female academic talent, that talent does not appear to filter naturally through to professorial positions. Under the VU University Amsterdam Strategic Plan 2011-2015, the target is that, by 2015, at least 20 per cent of professorial staff should be women.

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<sup>6</sup> The external professor is a member of the AAC. Although he or she may not attend (all) AAC meetings, the external advisor's input must be considered before a nomination is made. The external advisor's role and function therefore differ from those of an external referee, who is consulted only once the AAC has selected a candidate.

<sup>7</sup> VUnet > Ancillary activities

<sup>8</sup> Dispensation from this rule may be obtained to allow a religious or philosophical organization or body to nominate an endowed professor to work in the training of people to take up functions within the relevant community (e.g. chaplain, vicar, minister, priest, imam, pandit, humanist counsellor, etc.), if the appointment must satisfy not only academic criteria, but also community-specific religious/philosophical criteria.

At the end of May 2011, the figure was still about 13 per cent. The university has, for example, created the Fenna Diemer-Lindeboom chairs and in 2011 the 'Scouting guideline for the recruitment and selection of women in senior academic positions'<sup>9</sup> was drawn up to facilitate the removal of gender-related exclusion mechanisms. The professorship policy directly supports the University's gender diversity aims through the following provisions (see also Appendix 4):

- The AAC must include at least two female academics.
- If the nominee for a professorship is a man, the AAC report must state what steps were taken to identify and approach potentially suitable women.
- AAC members are provided with copies of the Checklist recruitment and selection of female professors.<sup>10</sup>

### **1.7 Comply or explain**

The aim of the professorship policy is to assure the quality of the University's professorial staff by setting out clear requirements regarding appointments, dossiers and procedures. Clarity regarding such matters is also necessary to enable the Executive Board and the Rector's Office (acting on behalf of the College of Deans) to adequately assess and decide upon a nomination/candidate. However, compliance with the relevant requirements should not be regarded as an end in itself. If the appointment of a particular candidate is obviously desirable, the policy should never be an obstacle to the appointment. That rationale finds expression through the 'comply or explain' principle, which is one of the tenets of the professorship policy. The principle is operationalized in the form of a system, whereby permission for a departure from any aspect of the policy may be sought by submitting a dispensation request to the Rector's Office before the formal nomination/appointment procedure is initiated within the faculty.<sup>11</sup>

### **1.8 Transparent and thorough procedures**

With a view to raising the quality of the University's professorial staff, promoting the operational efficiency of the organization, increasing transparency and expediting the appointment procedure, the procedures and dossiers are being standardized as far as possible. The procedures to be followed and requirements that appointments dossiers must meet are set out in section 2.1 of the professorship policy and its appendices.

### **1.9 University professors and visiting professors**

VU recognizes professors of great academic standing and social merit, by awarding them the title of university professor.<sup>12</sup> Having renowned academics temporarily at the University as visiting professors can strengthen research groups, enrich teaching through guest lectures and seminars, and lead to the extension of international academic networks. Consequently, university professors and visiting professors contribute significantly to the reputation and profile of VU within the wider world. The procedures for appointing university professors and visiting professors are set out in sections 3 and 4.

### **1.10 Emeritus professors**

VU seeks to offer career opportunities to talented young academics. The creation of such opportunities depends on senior members of staff making way at the end of their careers. VU therefore pursues a conservative policy on the prolongation of professors' employment beyond their pension age. Nevertheless, as with other aspects of the professorship policy, exceptions are made where compelling reasons exist. The relevant policy is discussed in section 5.

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<sup>9</sup> VUnet > Charter Talent to the Top > Scouting guideline

<sup>10</sup> VUnet > Charter Talent to the Top > Scouting guideline

<sup>11</sup> Sometimes, it becomes apparent only during the (faculty) procedure that a dispensation request should be made. In such circumstances, it is important for the University's reputation that a dispensation request is submitted to the Rector's Office as soon as possible, and certainly before anyone is made aware that he/she is the preferred candidate.

<sup>12</sup> The Research Programme Committee is currently looking into ways of revitalizing the university professorship system as a means of attracting and retaining outstanding talent.

## 2. Appointment procedure

The procedure for appointing a professor takes place mainly within the faculty (AAC formation and nomination). However, part of it involves interaction between the faculty, the Executive Board and the Rector's Office/College of Deans. The part of the procedure that takes place in the faculty is defined in the faculty's professorship policy memorandum and must comply with the evaluation criteria set out in that document, which has to be submitted to the Rector's Office. If a faculty wishes to depart from the prescribed procedures and arrangements, a written dispensation request must be submitted to the Rector's Office. Once dispensation has been granted, the formal procedure may be started and a nomination made. The procedure by which the Faculty Board and Executive Board decide on a professorial appointment is described in this memorandum.

The authority to appoint professors and confer endowed professorships lies with the Executive Board, but the Board obtains advice from the College of Deans before arriving at its decisions. The College of Deans has delegated the task of advising the Executive Board on such matters to the Rector's Office. The Rector's Office informs the College of Deans about the advice given.

This section begins by setting out the conditions that a nomination must fulfil and the criteria that a dossier must meet. Thereafter, the procedure and the roles of the various actors are described.

### 2.1 Nomination conditions

When a nomination is made, a dossier is submitted to the Executive Board. The dossier must contain the following items in the order indicated:

1. Covering letter
2. Structure report
3. Profile
4. AAC Report
5. Factsheet
6. Curriculum vitae
7. Publication list
8. Reports from three external referees and/or from counterpart faculties and, where relevant, related VU faculties<sup>13</sup>
9. Assessments from external referees (in cases of non-open recruitment)
10. Self-appraisal interview report compiled and approved by the candidate

The conditions that the covering letter, factsheets and AAC report must satisfy are set out overleaf. The documents in question are very important, both for the assessment of a nominee and an appointment and for the assurance and evaluation of the policy.

#### *Covering letter*

The covering letter from the Faculty Board must include the following information, either in the body of the letter or in an accompanying schedule:

- Size of the professorship (or workload of the endowed professorship) expressed in FTEs
- Duration of the appointment (permanent or five-year appointment)
- Proposed appointment date
- Funding and remuneration arrangements (especially in the case of a sponsored or endowed appointment)
- Details of any dispensation(s) granted by the Rector's Office (e.g. allowing closed recruitment)
- Reasons for the nomination, with particular reference to the nature of the post and its position within the faculty/University
- Faculty Board's reasoned assessment of the nominee's qualities, based on the factsheet, publication list, CV and AAC report
- Details of the external referees consulted within the relevant discipline and/or at counterpart faculties, and of the references received<sup>14</sup>
- An account of the self-appraisal interview with the candidate

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<sup>13</sup> Counterpart faculties need not be consulted if references are provided from three external referees active in the discipline (preferably in other countries) and selected by the AAC (not the candidate), who have been consulted in tandem with the Faculty Board.

<sup>14</sup> If one or more references are critical or advise against appointment, a statement from the Faculty Board must be provided, explaining why the person in question has nevertheless been nominated.



### *Factsheet*

The candidate evaluation criteria for the humanities/social sciences and science/medical domains are operationalized on the factsheets. Each faculty formulates a factsheet score index, indicating the standards that professorship candidates are required to meet. Nevertheless, explanatory supporting information is sometimes needed for good evaluation and interpretation of the scores. The factsheets are available from the intranet and are completed electronically by the faculties.<sup>15</sup>

### *AAC report*

The AAC report has to comply with various conditions, in order to ensure the transparency of the process and to clarify the AAC's approach, thus enabling evaluation of the professorship policy. Admission will depend not only on whether the candidate is eligible for a professorship, but also whether he or she is *the best* candidate. The AAC report must provide the following information:

- The composition of the AAC (see Appendices 1 and 4)
- The recruitment strategy adopted (journals and websites used, external agencies/targeted scouting strategies used, job description used/advertisement wording)
- Account of the selection procedure (e.g. number of responses, number of candidates invited for interview); anonymized characteristics of the responses/candidates (e.g. male/female, internal/external, nationality)
- AAC activities (number of meetings, prior arrangements, interview/selection method)
- Matters considered by the AAC
- Where relevant: candidature argumentation
- If the nominee is a man, the steps taken to identify and approach potentially suitable women (use of tips from the Checklist for the Recruitment and Selection of Female Professors<sup>16</sup>)
- References from three external referees appointed by the AAC and available to be consulted jointly with the Faculty Board (instead of consulting counterpart faculties)

A standardized AAC report form, whose use avoids the need to compose a text report, is appended to this memorandum (Appendix 4). In the interests of efficiency and uniformity, use of the form is recommended. Like the factsheets, the form is available from the intranet and is completed electronically.<sup>17</sup>

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<sup>15</sup> VUnet > Professorship policy

<sup>16</sup> VUnet > Charter Talent to the Top

<sup>17</sup> VUnet > Professorship policy

## 2.2 Procedure for appointing professors and endowed professors

This section of the memorandum describes the part of the appointment procedure that involves interaction between the faculty and the Executive Board. There are in fact four distinct procedures: appointment of a professor, establishment of an endowed chair, admission of an endowed professor and establishment/admission of an endowed chair/professor. The last of those variants is used only if prior dispensation from the open recruitment requirement has been granted.

<i>Step</i>	<i>Procedure for the appointment of a professor</i>	<i>Actor</i>
1	Nomination for professorship (complete dossier, including all appendices) submitted to the Executive Board	Faculty Board
2	Initial evaluation by Office for Management Affairs and Rector, possibly feedback to faculty	Office for Management Affairs/Rector
3	Discussion within Rector's Office possibly followed by feedback to Faculty Board.	Rector's Office
4	Advice from Rector's Office (mandated by College of Deans)	College of Deans
5	Decision by the rector (mandated by the Executive Board)	Executive Board
6	Appointment by Executive Board, signature of deed of appointment by Executive Board; Faculty Board receives deed and handles remaining matters	Executive Board

<i>Step</i>	<i>Procedure for the establishment of an endowed chair</i>	<i>Actor</i>
1	Proposal to establish an endowed chair (request for declaration of competence) with report faculty submitted to Executive Board <sup>18</sup>	Faculty Board
X	If the VU University Amsterdam Foundation is acting as legal entity: the Executive Board asks the Foundation for its cooperation with the establishment of the endowed chair	Executive Board
2	Initial evaluation by Office for Management Affairs and Rector, possibly feedback to Faculty Board	OMA/Rector
3	Discussion within Rector's Office possibly followed by feedback to faculty	Rector's Office
4	Advice from Rector's Office (mandated by College of Deans)	College of Deans
5	Decision by the Rector (mandated by the Executive Board)	Executive Board
6	Confirmation of declaration of competence to legal entity for the endowed chair; faculty receives copy	Executive Board
7	Legal entity for the endowed chair establishes the endowed chair, appoints curators and confirms establishment date and composition of College of Curators to Executive Board and Faculty Board	Legal entity/ Foundation

<sup>18</sup> If the Executive Board is asked by an external legal entity to establish an endowed chair, the advice of the relevant faculty/faculties is sought.

<i>Step</i>	<i>Procedure for the admission of an endowed professor</i>	<i>Actor</i>
1	Nomination for an endowed professorship (complete dossier, including all appendices) submitted to Executive Board	Faculty Board
X	If the VU University Amsterdam Foundation is acting as legal entity: the Executive Board asks the Foundation for its cooperation with the appointment of the endowed professor; if the Foundation agrees, the Foundation asks the Executive Board to cooperate with the proposed appointment	Office for Management Affairs/ Executive Board
2	Initial evaluation by Office for Management Affairs and Rector, possibly feedback to Faculty Board	Office for Management Affairs/Rector
3	Discussion within Rector's Office possibly followed by feedback to faculty	Rector's Office
4	Advice from Rector's Office (mandated by College of Deans)	College of Deans
5	Decision by the Rector (mandated by the Executive Board)	Executive Board
6	Confirmation of agreement to the proposed appointment of endowed professor to legal entity for the endowed chair; faculty receives copy	Executive Board
7	Legal entity for the endowed chair appoints the endowed professor and confirms appointment date, appointment term and composition of College of Curators to Executive Board and Faculty Board	Legal entity/ Foundation

<i>Step</i>	<i>Procedure for the establishment of an endowed chair/admission of an endowed professor (following dispensation from the open recruitment requirement)</i>	<i>Actor</i>
1	Combined proposal to establish an endowed chair (complete dossier) and nomination for an endowed professor submitted to Executive Board	Faculty Board
(X)	If the VU University Amsterdam Foundation is acting as legal entity: the Executive Board asks the Foundation for its cooperation with the appointment of the endowed professor; if the Foundation agrees, the Foundation asks the Executive Board to cooperate with the proposed establishment/appointment	Executive Board
2	Initial evaluation by Office for Management Affairs and Rector, possibly feedback to faculty	OMA/Rector
3	Discussion within Rector's Office possibly followed by feedback to faculty	Rector's Office
4	Advice from Rector's Office (mandated by College of Deans)	College of Deans
5	Decision by the Rector (mandated by the Executive Board)	Executive Board
6	Declaration of competence and confirmation of agreement to the proposed appointment of endowed professor to legal entity for the endowed chair; Faculty Board receives copy	Executive Board
7	Legal entity for the endowed chair establishes the endowed chair, appoints curators and appoints the endowed professor and confirms establishment date, composition of College of Curators, appointment date, and appointment term to Executive Board and Faculty Board	Legal entity/ Foundation

### 3. University professors

VU University Amsterdam is seeking to appoint four university professors: people of great academic standing and social merit. University professors help to define the University's image, raise its profile and enhance its reputation. They also act as figureheads for VU, carrying out influential research and translating it into the public debate.

#### 3.1 How does VU recruit university professors?

VU recruits university professors in two ways: internal nomination and external recruitment.

- *Faculties nominate candidates*  
Once a year, each faculty has the opportunity to nominate any member of its staff who would make a good university professor. The nomination takes the form of a proposal from the Faculty Board to the Executive Board, using the Royal Netherlands Academy of Arts and Sciences Professorship Nomination format. The Executive Board forwards the proposals to an Appointments Advisory Committee made up of the Rector's Office staff plus two professors. The Executive Board makes a selection from the committee's nominees and appoints the university professors.
- *Faculties engage in active recruitment*  
Faculties (deans) approach potential candidates outside VU. The Executive Board supervises such approaches with a view to ensuring that they involve a balanced mix of men, women and international candidates. If there is a shortage of suitable internal female candidates and international candidates, the Executive Board will place extra emphasis on external recruitment.

#### 3.2 What criteria must university professors satisfy?

The Executive Board considers only a small number of candidates for university professorships and applies at least the following selection and appointment criteria:

- A candidate must conduct research characterized by discipline-transcending vision and resonance, whose excellence is internationally recognized.
- A university professor is appointed on the basis of academic merit, status and authority and must work on institute-wide themes.
- The research undertaken must relate to one of VU's recognized focus fields. This requirement does not, however, preclude the candidacy of academics whose contributions and expertise are in specialist areas.
- A university professor must carry out innovative research, teach and exhibit an awareness of social and economic applications of knowledge in his/her field (technology transfer - valorization).
- A university professor must give impetus to academic development and be willing to involve him/herself outside his/her own or traditional field of knowledge (i.e. must be engaged in discipline-transcending work).
- A university professor must raise the profile of VU by contributing to academic and social debate.
- A university professor has a status that is comparable with that of a Royal Netherlands Academy of Arts and Sciences professor or a Spinoza Prize winner.
- The performance of a university professor must be rated excellent in the context of peer reviews and external reviews. A university professor must also be an international authority in his/her research field, as evidenced by, for example:
  - Receipt of prestigious awards
  - Publications in leading academic journals
  - Frequent citation by leading academics
  - Membership of the editorial boards of leading journals
  - Pioneering research in leading research teams
  - Regular invitations to be a keynote speaker at important seminars

#### 3.3 What is the appointment and assessment procedure?

University professors are paid on salary scale H1. The appointment is for a period of up to five years and must be at least 0.4 FTEs. Reappointment is permissible with the faculty's approval. However, the full cost of a university professorship is chargeable to the faculty beyond the first five-year term. Within three months of taking up the post, a university professor is required to submit a work plan to the Rector and the Dean, setting out the research and teaching he/she intends to undertake. Once a year, the Rector and Dean meet the university professor to discuss his/her results and plans for the year ahead. If the faculty is considering extending the term of a university professorship, the Rector and the Dean perform an assessment at least four months before the end of the appointment term. A reappointment is made by the Executive Board, in response to a proposal by the Rector, after seeking

the advice of the Rector's Office. Decisions regarding the reappointment of university professors take due account of the budgetary scope.

### **3.4 What is the university professor's role and what activities does the role entail?**

A university professor's most important contributions are in the fields of research and debate. Each university professor draws up a personal plan, describing the role that he/she intends to play. By way of example, a number of *specimen* activities are listed below.

- *Education*

One important distinction between the role of an 'ordinary' professor and that of a university professor is that the latter has no management or administrative duties. The university professor has no faculty responsibilities. However, a university professor is expected to make a contribution to educational activities within the faculty, e.g. by teaching and otherwise supporting the University's honours programme or research/non-research Master's programmes relevant to the university professor's specialist field. It is also desirable that a university professor delivers guest lectures. A university professor may also contribute to the development of the faculty's educational offering and to refreshment of initial and post-initial programmes.

- *Public debate and research*

VU expects its university professors to participate in public debate and to be well-known internationally. Through supra-faculty activities, a university professor can win exposure for talented people within VU and beyond. A university professor is also capable of presenting complex issues and research results in appealing ways and making them accessible to lay people. A university professor may additionally play a prominent role at gatherings such as the opening of the Academic Year, the Dies Natalis and any other event that contributes to the University's profile. Annual interdisciplinary events and lecture or debate series organized jointly by several university professors can contribute to visibility.

### **3.5 What facilities are available to the university professor?**

It is appropriate that a university professor should have special facilities at his/her disposal. VU accordingly provides the following:

- Appropriate accommodation and secretarial support
- An annual personal budget of €50,000 to cover the cost of travel, materials, activities and other such expenses or to employ an assistant who can help to secure and manage funding from government agencies and contract funding
- A fixed contact person within the university, who can help to organize activities
- Regular (informal) discussions with the Rector, enabling the university professor to have a say in VU's strategy development
- The assistance of a university research fellow  
This implies that, each year for the duration of his/her appointment, the university professor appoints a student as a fellow. The fellow has a title that incorporates the university professor's name (e.g. VU -Nijkamp-Fellow) and supports the university professor for the year. The support might include performing some of the university professor's educational duties, assisting research or following (part) of a doctoral pathway. The university professor may also appoint his/her fellow as a personal assistant. More information about this subject is available at [www.vu.nl/urf](http://www.vu.nl/urf).

### **3.6 VU profiles itself as the 'place to be'**

As soon as the university professor is appointed, the VU Communications & Marketing service department helps the appointee to prepare a personal profiling plan. The plan describes the internal and external publicity activities that are considered desirable for the individual professorship. By giving exposure to its top people and their research, VU profiles itself as the place to be for talented academics *and* students.

### **3.7 What does an appointment cost?**

The faculty and the Executive Board each contribute half of the overall cost of the professorship, which is typically about €200,000 per year, excluding the cost of secretarial support, which is met by the faculty.

#### 4. Visiting professors

Having a prominent academic temporarily at the university as a visiting professor is an attractive and useful arrangement, which facilitates the establishment or reinforcement of strategic alliances with other universities, makes the internationalization of the faculty's activities apparent and tangible to staff and students and, most importantly, makes it possible to temporarily strengthen research groups and their work.

The title Visiting Professor is reserved exclusively for academics who are formally but temporarily admitted to the university's professorial staff in a visiting capacity by the Executive Board. By protecting the status of the visiting professorship in this way, VU makes it more attractive to join VU as a visiting professor. VU seeks to award visiting professorships to leading academics who either are already professors at top universities, or have strong reputations for their contributions to university and other research groups that have prominent international positions within the relevant disciplines. Admission as a visiting professor does not constitute a formal professorial appointment and the procedure therefore differs from the formal procedure for appointing a professor.

A visiting professor's role at VU does not therefore confer *ius promovendi*. Nevertheless, visiting professors sometimes have such authority on account of positions held elsewhere. If that is not the case, a visiting professor may be able to act as a copromotor. A faculty may, at its discretion, engage a visiting professor on the basis of a secondment arrangement, a fixed-term employment contract, an expenses-only arrangement, or another arrangement, subject to the constraints of the Collective Labour Agreement, the Hospitality Policy and the tax rules.

##### *Procedure*

At least three months before the proposed start date of the agreement between the faculty and the prospective visiting professor, the Faculty Board presents a proposal to the Executive Board, accompanied by the nominee's CV, details of his/her specialist field, the duration of the proposed appointment (subject to a maximum of one year), the main aim of the proposed appointment, the envisaged activities and the department/institute where the activities are to take place. If the Rector's Office (acting on behalf of the College of Deans) approves the proposal, the Executive Board authorizes the nominee's admission. The nominee is then sent a formal letter of appointment as a visiting professor, signed by the Rector. A copy is sent to the Faculty Board.

If a faculty wishes to arrange a visiting professorship with a term of more than a year, a special request, setting out the reasons for the extended term, must be made to the Rector's Office.

#### 5. Emeritus professors

Professors normally retire when they reach their pension age. On retirement, a professor's employment at VU is formally terminated. However, a retired professor retains his/her *ius promovendi* for a further five years in respect of any students working towards doctorates under his/her formal supervision. The *ius promovendi* retention arrangements apply equally to professors who retire before their pension age, through the early retirement scheme (ABP KeuzePensioen) or under an honourable discharge arrangement. A faculty may sometimes wish to maintain a closer relationship with a retiring professor than that described above. Under such circumstances, two types of arrangement are possible:

- An arrangement for courtesy privileges
- A temporary contract of employment

##### *Courtesy privileges arrangement*

If a faculty wishes to maintain relations with an emeritus professor, it is often sufficient to make an arrangement for courtesy privileges, under which the professor continues to perform a few of his/her former duties on a voluntary basis. As well as continuing to supervise students working towards doctorates (under his/her extended *ius promovendi*), the professor may undertake a limited amount of other work. To that end, the faculty makes certain facilities available, such as an e-mail account and possibly a PC or workstation. It is important that both the faculty and the emeritus professor are clear about the purpose of the courtesy privileges arrangement. The number of hours that a professor works under such an arrangement must be modest, as must the term of the arrangement: two years is typically sufficient (although extension is possible) and the arrangement should end no later than five years after the professor's pension age.

If the activities undertaken by an emeritus professor under a courtesy privileges arrangement are similar to the activities of an 'ordinary' professor, there is a risk that the emeritus could claim a contract of employment. That risk would also exist if the emeritus continued to work a significant number of hours. Faculties are advised to seek the advice of HRM regarding the risks associated with a proposed arrangement and the scope for mitigation.

#### *Temporary contract of employment*

VU University wishes to retain its talented personnel and accordingly seeks to offer them good career opportunities. The University therefore pursues a conservative policy on the prolongation of professors' employment beyond their pension age, whether through the extension of existing contracts or the agreement of new contracts. Nevertheless, a temporary contract of employment continuing beyond the pension age may be arranged, where it is in the organization's interest because one of the following distinct circumstances exists:

1. A suitable successor has been identified, but there will be an interval between the incumbent's scheduled retirement date and the date that the successor can take up the post.
2. Despite demonstrable, repeated attempts to secure a successor, no appointment has yet been made and the organization will consequently be left with a vacancy on the incumbent's retirement.
3. The person who is due to retire demonstrably possesses irreplaceable specialist organizational or other knowledge, making his/her retention very important to the organization. Furthermore, the professorship is an active institutional role that helps to define the organization's image in the context of faculty projects funded by government agencies or on a contract basis.
4. The person who is due to retire is an active academic of exceptional and widely acknowledged quality.

An application to prolong a professor's employment beyond the pension age must satisfy the following conditions:

- Both parties (employer and employee) must explicitly wish the professor to continue working on the basis of a contract of employment (an employment contract with a small number of hours, e.g. 0.01 FTE, may be considered). A professor or emeritus professor has no 'right' to the extension of his/her 'old' contract of employment; that contract ends by operation of law when the employee reaches the pension age (Article 8.4, clause 7, of the NU Collective Labour Agreement).
- The Faculty Board must specify the purpose or importance of arranging a new contract of employment. The professor's normal activities within the faculty's educational and /or research programme are to be specified.

The re-employment of a retiring professor must not compromise the faculty's talent policy. When requesting a prolongation, the Faculty Board must demonstrate that that is unlikely to be the case.

The duration of a new contract of employment must not exceed two years. If the faculty wishes to prolong the employment of a professor still further, the procedure described above must be repeated and the matter once more referred to the Executive Board. An emeritus professor's employment must end no later than five years after reaching the pension age.<sup>19</sup>

If an application to prolong employment is approved by the Rector's Office, the Executive Board informs the faculty that a new contract of employment, as described in the request, may be awarded. In cases where a new contract is not required simply to bridge the period until an identified successor is in place, it is obviously particularly important that the reasons for the prolongation are explained. In cases where no appointment has yet been made despite demonstrable, repeated attempts to secure a successor, the faculty must indicate what steps have been taken to find a successor and when it is anticipated that a successor will be in post.

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<sup>19</sup> As indicated earlier, a professor retains *ius promovendi* for five years after retirement. The same rule applies to an emeritus professor who agrees a new contract: he/she retains *ius promovendi* for five years from the expiry of his/her new contract of employment in respect of any students working towards doctorates under his/her formal supervision.

### *Rise in pension age*

Starting in 2016, the pension age will increase in three-month steps. From 2018 it will increase in four-month steps. From 2022 the pension age will be a factor of life expectancy. The table below shows what this means for the years to come.

<i>Date of birth</i>	<i>First pension benefit payment</i>	<i>Pension at age</i>
prior to 1947	2012 or earlier	65 years
01.01.1948 - 30.11.1948	2013	65 years + 1 month
01.12.1948 - 31.10.1949	2014	65 years + 2 months
01.11.1949 - 30.09.1950	2015	65 years + 3 months
01.10.1950 - 30.06.1951	2016	65 years + 6 months
01.07.1951 - 31.03.1952	2017	65 years + 9 months
01.04.1952 - 31.12.1952	2018	66 years
01.01.1953 - 31.08.1953	2019	66 years + 4 months
01.09.1953 - 30.04.1954	2020	66 years + 8 months
01.05.1954 - 31.12.1954	2021	67 years
1955 or later	starting in 2022	67 years (linked to life expectancy)



### 1.1 Assessment criteria

- A professor is a VU employee, whereas an endowed professor is not.
- A professor's job size is  $\geq 0.4$  FTEs, while an endowed professor has a workload equivalent to  $< 0.4$  FTEs.
- No dispensation is required for VUmc appointments of roughly 1 FTE, of which 0.3 to 0.4 FTEs are at professorial level.
- No individual may hold both an associate professorship and a professorship or endowed professorship within the same faculty.
- The composition of the AAC must satisfy the following conditions:
  - Chair: dean or a professor/departmental head (not from the appointing department)
  - 1-2 senior professors (not from the appointing department)
  - 1-2 members of the academic staff of the appointing department or a related department (professors or associate professors)
  - Director of iOZI (Interdisciplinary Research Institutes), if the appointment is in the relevant discipline
  - Operations Director and/or Personnel Consultant
  - A member of any other VU faculty whose activities interface with the discipline in which the appointment is to be made
  - At least two female members
  - 1-2 external (i.e. non-VU) academic advisers, preferably professors, with expertise in the relevant academic field
  - A student as an advisory external member (facultative)
  - In the case of an endowed professorship: no more than one representative of the sponsor
- Open international recruitment is the norm
- Selection requirements/result fields for professors -subject to faculty-specific operationalization:
  - Doctorate
  - Demonstrable performance in the field of education
  - Demonstrable performance in the field of doctorate study supervision
  - Relevant academic publications
  - Demonstrable performance in securing external funding
  - Demonstrable leadership qualities
  - Demonstrable social performance
- Within a faculty, the number of endowed professors must not exceed the number of professors.

### 1.2 Dispensation

If a faculty wishes to depart from the criteria in the University's professorship policy, the Faculty Board should submit a reasoned dispensation request to the Executive Board or Rector's Office, which decides whether the departure from policy should be allowed. Requests for the following are usually granted:

- Dispensation from the open recruitment requirement, to allow the appointment of an internal candidate (typically an associate professor) with whom a career/tenure track arrangement has been made and registered with the General Secretary to the College of Deans at least three years beforehand.
- Dispensation from the open recruitment requirement, to allow the appointment of an external candidate who is without question demonstrably a leading academic or an image-defining individual (professor and endowed professor) in a strategically significant discipline for the University.
- Dispensation from the bar on combining an endowed professorship and an associate professorship within the same faculty, if an open recruitment process leads to the nomination of an internal candidate.

Tenure track and career track  
registration procedure

Talented academics can be registered as following a tenure track or career track leading to a professorship. The open recruitment requirement may be waived only in circumstances where an academic who has followed a tenure or career track is nominated for a professorship. A prospective internal candidate who is following a tenure or career track should be registered with the Rector's Office at least three years before being nominated. An external candidate should be registered at least one year before being nominated. The register is maintained by the General Secretary to the College of Deans. The information that must be included in the registration file and the matters regarding which arrangements must be made with a prospective candidate are listed below. The Secretary checks that the file is complete and informs the Rector's Office of the registration. The Rector's Office does not assess the substance of the performance agreements. When a candidate is formally nominated, the candidate's eligibility for a professorship is assessed, regardless of the performance agreements. A tenure or career track arrangement is recorded in the register only if the file is complete, unless the Rector's Office has granted an explicit dispensation for a departure from the standard procedure.

1. Covering letter, making reference to:
  - Reasons for registration
  - Current academic position/performance of the candidate
  - Outline of the arrangements made between the faculty and the candidate
  - Details of the (future) chair
  - Information about how the arrangements will be monitored and the circumstances under which the two parties may cancel the arrangements
2. The pathway agreed between the faculty and candidate, including details of at least the following:
  - Research performance (including record of securing funding)
  - Teaching performance
  - Managerial performance
3. Appendices
  - Curriculum Vitae
  - Factsheet
  - Copy of the letter to the individual in question, setting out the arrangements

## Appendix 3a to Professorship policy VU

Specimen factsheet for the nomination of an (endowed) professor in the science/medical domain<sup>20</sup>

Version for electronic completion:  
VUnet > Professorship policy VU

*Submit this form as an appendix to the (endowed) professorship nomination file.*

<b>Name, initials</b>			
<b>Date of birth, gender</b>		<input type="checkbox"/> male	<input type="checkbox"/> female
<b>Faculty/OZI</b>			
<b>Department</b>			
<b>Discipline</b>			

<b>Instructions and information</b>
<ul style="list-style-type: none"> <li>• Evaluation criteria apply to professors and endowed professors.</li> <li>• Scores are compared on the basis of the faculty evaluation criteria, by reference to the benchmark.</li> <li>• Provide information to explain and facilitate interpretation of the scores where relevant.</li> <li>• Candidate's scores to be entered in the 'Score' column.</li> <li>• Norms defined by the faculty to be entered in the 'Norm' column. Therefore, not all fields will be completed, but only those for which a norm has been defined.</li> </ul>

<b>1. Education</b>		
<b>Evaluation criterion: demonstrable performance in the field of education</b>	<b>Score</b>	<b>Norm</b>
Average number of hours of lectures per year over the last three years		
Average number of hours of work group/practical supervision/fieldwork over the last three years		
Average number of educational assessments (of students) over the last three years <sup>21</sup>		
Number of Bachelor's theses supervised (total)		
Number of Master's theses supervised (total)		
Number of posts held on committees responsible for educational development and innovation		
Number of years of innovative curriculum work in a managerial role		
University Teaching Qualification (BKO)		
English language proficiency (ETV – applies only if teaching in English)		
Educational professionalization courses followed (specify)		
<b>Supporting information and explanatory notes</b>		

<sup>20</sup> All information must be verifiable from the nomination file.

<sup>21</sup> Explain the quantification method where appropriate.

## 2. Research

### 2.1 Publications and citations

#### Evaluation criterion: doctorate

Thesis	Title	
	Year	
	(Co)promoters	
	University	

#### Evaluation criterion: relevant academic publications (indicate in Notes section which are (most) relevant)

	Score	Norm
Number of indexed <sup>22</sup> academic articles <sup>23</sup> of which candidate is main author		
Number of indexed academic articles (total)		
Number of peer-reviewed academic articles		
Number of non-peer-reviewed academic articles		
Number of academic books and monographs (not dissertations and textbooks)		
Number of book chapters		
Number of citations as main author (according to Web of Science)		
Number of citations as main author (according to Google Scholar)		
Number of citations (total) (according to Web of Science)		
Number of citations (total) (according to Google Scholar)		
Hirsch index (according to Web of Science)		
Hirsch index (according to Google Scholar)		
Hirsch index divided by the number of years' academic work		
Other relevant (domain-specific) performance measure <i>format not prescribed; explanation/supporting information to be given in Notes section, page 3</i>		

### 2.2 Funding secured (in k€ total and per grant (top 3))

#### Evaluation criterion: demonstrable performance in securing external funding

Total funding secured from government agencies in k€ (NWO, ZonMw, KP7, ERC etc)	k€
1.	k€
2.	k€
3.	k€
Total contract funding secured in k€ (other external research funding)	k€
1.	k€
2.	k€
3.	k€

<sup>22</sup> Included in the Science, Social Science or Arts and Humanities index.

<sup>23</sup> Paper or electronic media.

<b>2.3 Doctorate study supervision</b>		
<b>Evaluation criterion: demonstrable experience in the field of doctorate study supervision</b>	<b>Score</b>	<b>Norm</b>
Number of doctorates supervised to conclusion		
Number of doctorates currently being supervised		

<b>2.4 Stature</b>	<b>Score</b>	<b>Norm</b>
Number of grant committee posts held		
Number of keynote speaker appearances at/invitations to (inter)national congresses		
Number of appearances at/invitations to (inter)national congresses		
Number of presentations made at (inter)national congresses (calls for papers)		
Number of editorial board/referee posts for (inter)national periodicals (journals, book series etc)		
Number of academic society board posts held		
Relevant academic awards		

<b>Supporting information and explanatory notes</b>

<b>3. Current span of control</b>		
<b>Evaluation criteria: experience supervising research groups</b>	<b>Score</b>	<b>Norm</b>
Number of academic staff supervised		
Number of support staff supervised		

<b>4. Social relevance</b>
----------------------------

<b>4.1 Economic value (technology transfer - valorization)</b>	<b>Score</b>	<b>Norm</b>
Number of posts held on advisory committees in the commercial domain		
Number of patents, intellectual property sales		
Involvement in 'spin-off' or 'start-up' companies		

4.2 Socio-cultural value	Score	Norm
Number of academic publications <sup>24</sup>		
Number of lay publications <sup>25</sup>		

Supporting information and explanatory notes

5. Role as a professional
Supporting information and explanatory notes

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<sup>24</sup> Including: articles in journals, books, book sections, annotations, congress contributions, protocols, reports (source: VSNU).

<sup>25</sup> Including: books, book sections, contributions to newspapers or journals, television or radio appearances, book reviews (source: VSNU).

## Appendix 3b to Professorship policy VU

Specimen factsheet for the nomination of an (endowed) professor in the humanities/social sciences<sup>26</sup>

Version for electronic completion:  
VUnet > Professorship policy VU

*Submit this form as an appendix to the (endowed) professorship nomination file.*

<b>Name, initials</b>			
<b>Date of birth, gender</b>		<input type="checkbox"/> male	<input type="checkbox"/> female
<b>Faculty/OZI</b>			
<b>Department</b>			
<b>Discipline</b>			

### Instructions and information

- Evaluation criteria apply to professors and endowed professors.
- Scores are compared on the basis of the faculty evaluation criteria, by reference to the benchmark.
- Provide information to explain and facilitate interpretation of the scores where relevant.
- Candidate's scores to be entered in the 'Score' column.
- Norms defined by the faculty to be entered in the 'Norm' column. Therefore, not all fields will be completed, but only those for which a norm has been defined.

### 1. Education

Evaluation criterion: demonstrable performance in the field of education	Score	Norm
Average number of hours of lectures per year over the last three years		
Average number of hours of work group/practical supervision/fieldwork over the last three years		
Average number of educational assessments (of students) over the last three years <sup>27</sup>		
Number of Bachelor's theses supervised (total)		
Number of Master's theses supervised (total)		
Number of posts held on committees responsible for educational development and innovation		
Number of years of innovative curriculum work in a managerial role		
University Teaching Qualification (BKO)		
English language proficiency (ETV – applies only if teaching in English)		
Educational professionalization courses followed (specify)		

### Supporting information and explanatory notes

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<sup>26</sup> All information must be verifiable from the nomination file.

<sup>27</sup> Explain the quantification method where appropriate.

## 2. Research

### 2.1 Publications and citations

#### Evaluation criterion: doctorate

Thesis	Title	
	Year	
	(Co)promoters	
	University	

#### Evaluation criterion: relevant academic publications (indicate in Notes section which are (most) relevant)

	Score	Norm
Number of refereed academic articles <sup>28</sup>		
Number of non-refereed academic articles <sup>3</sup>		
Number of indexed <sup>29</sup> academic articles of which candidate is main author		
Number of indexed academic articles (total)		
Number of book sections and/or chapters		
Number of academic books and monographs (not dissertations and textbooks)		
Number of citations (total) (according to Web of Science)		
Number of citations (total) (according to Google Scholar)		
Hirsch index (according to Web of Science)		
Hirsch index (according to Google Scholar)		
Hirsch index divided by the number of years' academic work		
Other relevant (domain-specific) performance measure <i>format not prescribed; explanation/supporting information to be given in Notes section, page 3</i>		

### 2.2 Funding secured (in k€ total and per grant (top 3))

#### Evaluation criterion: demonstrable performance in securing external funding

Total funding secured from government agencies in k€ (NWO, ZonMw, KP7, ERC etc)	k€
1.	k€
2.	k€
3.	k€
Total contract funding secured in k€ (other external research funding)	k€

<sup>28</sup> Paper or electronic media.

<sup>29</sup> Included in the Science, Social Science or Arts and Humanities Index.



1.	k€
2.	k€
3.	k€

<b>2.3 Doctorate study supervision</b>		
<b>Evaluation criterion: demonstrable experience in the field of doctorate study supervision</b>	<b>Score</b>	<b>Norm</b>
Number of doctorates supervised to conclusion		
Number of doctorates currently being supervised		

<b>2.4 Stature</b>	<b>Score</b>	<b>Norm</b>
Number of grant committee posts held		
Number of keynote speaker appearances at/invitations to (inter)national congresses		
Number of invited speaker appearances at/invitations to (inter)national congresses		
Number of paper/poster presentations (calls for papers)		
Number of editorial board/referee posts for (inter)national periodicals (journals, book series etc)		
Number of academic society board posts held		
Relevant academic awards		

<b>Supporting information and explanatory notes</b>

3. Existing span of control		
Evaluation criteria: experience supervising research groups	Score	Norm
Number of academic staff supervised		
Number of support staff supervised		

#### 4. Social relevance

4.1 Economic value (technology transfer - valorization)	Score	Norm
Number of posts held on advisory committees in the commercial domain		
Involvement in 'spin-off' or 'start-up' companies		

4.2 Socio-cultural value	Score	Norm
Number of academic publications <sup>30</sup>		
Number of lay publications <sup>31</sup>		

Supporting information and explanatory notes

5. Role as a professional
Supporting information and explanatory notes

<sup>30</sup> Including: articles in journals, books, book sections, annotations, congress contributions, protocols, reports (source: VSNU).

<sup>31</sup> Including: books, book sections, contributions to newspapers or journals, television or radio appearances, book reviews (source: VSNU).

## Appendix 4 to Professorship policy VU

## Specimen AAC advisory report on the recruitment and selection of professors and endowed professors

Version for electronic completion:  
[VUnet > Professorship policy VU](#)

*Submit this form as an appendix to the (endowed) professorship nomination file.*

<b>Chair</b>	
<b>Faculty</b>	
<b>Department</b>	

**Conditions governing the composition of the AAC**

- Chair: dean or a professor/departmental head (not from the appointing department)
- 1-2 senior professors (not from the appointing department)
- 1-2 members of the academic staff of the appointing department or a related department (professors or associate professors)
- Director of iOZI, if the appointment is in the relevant discipline
- Operations Director and/or Personnel Consultant
- A member of any other VU faculty whose activities interface with the discipline in which the appointment is to be made
- At least two female members
- 1-2 external (i.e. non-VU) academic advisers, preferably professors, with expertise in the relevant academic field
- A student as an advisory external member (facultative)
- In the case of an endowed professorship: no more than one representative of the sponsor

AAC	Gender	Title	Name	Position	Department
1 Chair	<input type="checkbox"/> male <input type="checkbox"/> female				
2	<input type="checkbox"/> male <input type="checkbox"/> female				
3	<input type="checkbox"/> male <input type="checkbox"/> female				
4	<input type="checkbox"/> male <input type="checkbox"/> female				
5	<input type="checkbox"/> male <input type="checkbox"/> female				
6	<input type="checkbox"/> male <input type="checkbox"/> female				
7	<input type="checkbox"/> male <input type="checkbox"/> female				
8	<input type="checkbox"/> male <input type="checkbox"/> female				
9	<input type="checkbox"/> male <input type="checkbox"/> female				
10	<input type="checkbox"/> male <input type="checkbox"/> female				

<b>1. Recruitment</b>	
Journals (Dutch and non-Dutch), websites	
Agencies used, other forms of recruitment (targeted scouting)	
Job/competence description used for recruitment (advertisement text/instructions given to agency)	

<b>2. Selection</b>	
Number of applicants	
Number of female applicants	
Number of international applicants	
Number of applicants invited for first interview	
Number of female applicants invited for first interview	
Number of international applicants invited for first interview	

**3. Account of the recruitment and selection process and reasoning:**

**Process**

AAC activities (number of meetings, method, prior arrangements etc)

Method used to select candidates and account of the selection process  
(number of application rounds and method(s) used: case studies, presentations, written research proposals, trial lectures, etc)

If the nominee is a man, the steps taken to identify and approach potentially suitable women

**Procedural**

Matters considered by the AAC

Where relevant: candidates' considerations (in the event of withdrawal)

## Appendix 5 to Professorship policy VU

### (Endowed) professorship nomination file checklist

Information provided	Criteria met	Candidate	
		Faculty	
		<b>Bold = mandatory element of nomination file</b>	
		<b>Factsheet to be checked on the basis of faculty operationalization of professorship policy</b>	
		<b>Factsheet</b>	
		Candidate has a doctorate	
		Demonstrable performance in the field of education	
		Demonstrable performance in the field of doctorate study supervision	
		Relevant academic publications	
		Demonstrable performance in securing external funding	
		Demonstrable leadership qualities	
		Demonstrable social performance	
<b>AAC</b>			
		<b>AAC (report)</b>	
		Chair: dean or a professor/departmental head (not from the appointing department)	
		1-2 senior professors (not from the appointing department)	
		1-2 members of the academic staff of the appointing department or a related department (professors or associate professors)	
		Director of iOZI (Interdisciplinary Research Institutes), if the appointment is in the relevant discipline	
		Operations Director and/or Personnel Consultant	
		A member of any other VU faculty whose activities interface with the discipline in which the appointment is to be made	
		At least two female members	
		1-2 external academic advisers	
		A student as an advisory external member (facultative)	
		In the case of an endowed professorship: no more than one representative of the sponsor	

Content of AAC report:		
		Account of recruitment procedure
		Account of selection procedure
		AAC activities
		Matters considered by the AAC
		Where relevant: candidates' considerations
		Steps taken to identify and approach potentially suitable women
		External referees' views
Nomination file (other)		
		<b>Covering letter, stating:</b>
		Size of job (or endowed professor's workload)
		Term of appointment
		Funding and remuneration arrangements (for sponsored and endowed professorships in particular)
		No combination of associate professorship and (endowed) professorship
		Where relevant: dispensation(s) granted
		<b>Reports from counterpart faculties, and/or</b>
		<b>At least 3 external referees, selected by the AAC</b>
		CV
		Publication list
		Self-appraisal interview report (compiled or approved by the candidate)
		Profile
		Structure report
		International open recruitment
Dispensation options:		
		Internal candidate on career track, centrally registered at least 3 years before nomination
		Associate professor on centrally registered tenure track, selected by open process
		In other cases: dispensation request submitted to Rector's Office in advance
		Closed recruitment process: views of two independent external referees obtained
		Closed recruitment process: counterpart faculties consulted