

**THE SCHOOL OF BUSINESS AND  
ECONOMICS POLICY DOCUMENT**



**Career path for academic staff members**

Adopted by the SBE Board on 28 March 2020

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## 1. PREFACE

By means of this policy, the school aims to communicate the requirements relating to appointments and promotions among academic staff members in a transparent manner. These supplementary criteria for promotion do not replace the university job classification system (*universitair functieordeningssysteem*; UFO) for job profiles but provide further details regarding the requirements that must be met, as outlined in the UFO job profiles. The nature of academic career progression has changed. It is no longer contingent on the human resources available, as it was in the past, but rather on the individual results and performance achieved.

The previous version of this policy was adopted in November 2016. The changes introduced at that time concerned a new methodology for evaluating teaching performance. That methodology remains unchanged in this version. What is new is that the criteria for the assessment of valorisation has been made more specific.

## 2. BASIC PRINCIPLES

When evaluating a promotion or appointment, the performance of an academic staff member will be assessed in its entirety. The assumption underlying this is that teaching is one of the core activities of all academic staff, alongside the conducting of research activities. The same quality requirements apply to primary output at all levels: the definition of a good lecture or a good publication remains essentially the same whether this is provided by a junior lecturer or a professor. What is expected is that over the course of an individual's academic career, an increasingly clear pattern of consistently good or even excellent performance in these core areas can be discerned. In addition, over the course of an academic career, aspects such as international visibility, administrative tasks, the acquisition of external financing, the organisation of teaching, supervising colleagues, maintaining contacts with the field of professional practice and knowledge transfer are given increasing weight within the evaluation. This is not a matter of simply 'ticking boxes', but rather a guideline to be followed by the faculty and its committees when evaluating whether the academic staff member meets the minimum requirements. Decisions that are not entirely consistent with the stated criteria remain possible, provided that a convincing argument can be made that a promotion or appointment is desirable because it is in the interests of the school ('comply or explain').

The policy focuses on the academic career path of assistant professors, associate professors and professors. The policy applies to all scientific employees on the faculty, including those who, in addition to their position on the faculty, hold another outside position that is essential to the faculty because of its position within society. The policy does not apply to researchers and teachers.

The UFO job profiles take precedence for all positions. The criteria described below supplement the existing UFO job profiles.

Staff members with a part-time position should, in principle, meet the same criteria, although in practice the requirements associated with very limited part-time positions ( $\leq 0,2$ fte) will often emphasize teaching and research. Management tasks may involve activities outside the university, and valorisation is particularly important to the department or the school for positions outside the university. In all cases, the dossier will be reviewed in its entirety, and the relevance of any position(s) that the staff member holds outside the university will be taken into account, as well as for example whether any time can be devoted to research in that position.

For the post of professor, the procedure for the appointment of professors remains the procedure established in the university's Professorship Policy and the SBE Professorship Policy. For the recruitment of candidates for the position of professor, an evaluation is made of whether a candidate meets the requirements associated with Professor 2 or Professor 1. A new chair is set up and an existing chair can be extended, provided the faculty financial resources so permit, and if the chair falls within the core research areas of the faculty. No separate criteria are drawn up for the position of endowed chair. The faculty board decides whether a chair fits within one of the core research disciplines of the faculty. After a positive assessment, the procedure is followed as established in the VU Professorship's Policy.

The SBE Board appoints the committees referred to in this document (the Tenure Track Committee and the SBE Appointments Committee) and reserves the right to take a different decision than the recommendation made by the committee. Any decision taken that is contrary to the recommendation will be substantiated in writing and made available to the committee and the staff member concerned.

## 2.1. RESEARCH EVALUATION – GENERAL

When evaluating research performance for the purposes of a promotion or appointment, the same system will be used within SBE as for the annual allocation of research time to staff members ('Rules for Assessment' and 'Allocation Policy'). This system involves weighting publications on the basis of Article Influence percentiles (AIP), which are derived from Eigenfactor.org, or the equivalent credits on the basis of established policy. There are two ways of using this system:

1. by formulating requirements based on the minimum number of publications with a specified AIP or higher
2. by formulating requirements based on the amount of research time (FTE) that a staff member would be allocated under the annual allocation of research time. This is calculated using the AIPs of the five best publications in the past five years.

Published articles shall be used for the allocation of research time and in the application of promotion criteria. An exception to this is the application of the publication criterion in the granting of tenure (UD1); here the accepted publications are included in the assessment.

A maximum of one book may be counted per five publications (for example, a maximum of four books may be counted for 20 publications, for levels UHD2 and UHD1 a maximum of 1 book). A book from an 'A' publisher counts for .92 AIP; a book from a 'B' publisher counts as .77 AIP (in accordance with the list of publishers from the SBE research office).

Additional factors are also involved in the evaluation of research, such as the acquisition of external research funding, the supervision of PhD students, the supervision of a research group and the dissemination and valorisation of research results. It is important that researchers build an increasingly clear scientific profile and make it clear how they contribute to the development of a field (in a narrative) with various activities and achievements.

## 2.2. TEACHING EVALUATION – GENERAL

The evaluation of teaching performance involves a standardized teaching dossier which is to be submitted by the head of department in relation to any request for an appointment or promotion. This dossier is described in more detail in appendix A. The teaching dossier consists of a description and evaluation of the teaching activities carried out over the last two years. The dossier provides evidence of the nature of the activities carried out and the associated work (in hours), and each task is documented and evaluated in terms of quality from the perspective of both the students and the organisation. The evaluation is substantiated with the aid of supporting evidence. Appendix A provides a summary of the supporting sources that may be used. Student evaluations, the evaluation of the Director of Studies, and the staff member's own teaching CV must be included as attachments. Evaluations are given in terms of the following overall categories: very good, good, satisfactory, almost satisfactory, and unsatisfactory. Appendix A provides further guidance on the application of these categories.

For promotions and appointments to more senior posts, the assessment will emphasize lifetime achievements in the field of teaching, which will involve considerable additional information. The fact that the thorough documentation and evaluation of recent teaching activities is involved in all appointments demonstrates that all staff members are expected to remain involved in teaching and research.

Compiling the dossier is primarily the responsibility of the staff member. The head of department remains responsible for submitting the file to the SBE Appointments Committee and Tenure Track Committee. The SBE Appointments Committee (or the appointments advisory committee in the case of a new appointment as Professor) assesses the dossiers and the overall evaluation provided by the head of department, and may ask for additional information from, among others, the head of department, the staff member concerned, directors of studies, course coordinators and programme committees. The staff member will be informed by the head of department of any information that is added to the dossier as a result of this, as well as any changes made to the evaluation by the appointments committee.

### **2.3 VALORISATION ASSESSMENT – GENERAL**

Valorisation involves the use of knowledge. This knowledge utilization is often a daily practice at a university but not always clearly visible. The Association of Universities in the Netherlands (*Vereniging van Universiteiten; VSNU*) defines valorisation as ‘the process of value creation from knowledge, by making knowledge suitable and/or available for economic and social exploitation and making it suitable for translation into competitive products, services, processes and new business’.

The transfer of knowledge takes place through communication, cooperation and commercialisation. These are the guiding principles for the realization of valorisation at SBE in three themes. Theme 1 concerns social impact through strategic themes; focusing on carrying out activities with an impact on the target group (public and private sector) and increasing name recognition and communication aimed at professionals. Theme 2 focuses on structural cooperation with partners, visible in advisory committees, training and guidance of partners and joint activities with partners. Theme 3 is aimed at creating financial leeway through income from contracts with third parties as well as co-financing in (scientific) projects.

### **2.4 EVALUATION OF ADMINISTRATIVE AND MANAGEMENT ACTIVITIES**

Under the system described in this memorandum, ‘administrative and management activities’ do not form a separate category alongside teaching and research. Many administrative and management activities are associated with managing teaching and research activities and are therefore evaluated as part of the criteria relating to those areas. Administrative activities are only considered separately at the Professor 1 level.

### **2.5 EVALUATION OF THE COMBINATION OF TEACHING, RESEARCH AND VALORISATION IN PROMOTION DECISIONS**

The basic principles of the faculty are that all scientific staff have the task of doing (1) research as well as (2) teaching and (3) achieving knowledge validation. Therefore criteria for teaching, research and valorisation have been formulated for all job categories. For every job category the criteria are higher than those of the previous job category.

In addition to this all-round development, employees can distinguish themselves in one of three areas: teaching, research or valorisation. A balanced composition of teams and departments is important. Strategic personnel planning is used for a good coordination between the strategy of the department and the existing/required competencies within the team.

In order to give employees the opportunity to focus on one of the three areas: teaching, research or valorisation, the following system for promotions is applied from the level of UHD2.

Promotion to a given job category is possible if:

- 1: the criteria for teaching, research and valorisation of the given job category are met, or:
- 2: the research criteria for the next higher job category are met, and the teaching- or valorisation criteria for the next lower job category are met, and for the third area the criteria for the given job category are met, or
- 3: the research criteria for the next lower job category are met, and the teaching- or valorisation criteria for the next higher job category are met, and for the third area the criteria for the given job category are met.

Schematic overview of the promotion scenarios:

If compliance is met for: Appointment is possible to:	Research criteria at the level of:	Teaching criteria at the level of:	Valorisation criteria at the level of:
<b>Assistant prof. 1</b>	Assist. prof. 1	Assist. prof. 1	Assist. prof. 1
<b>Assoc. prof. 2 (wide)</b>	Assoc. prof. 2	Assoc. prof. 2	Assoc. prof. 2
<b>Assoc. prof. 2 (research profile) t</b>	Assoc. prof. 1	Assoc. prof. 2	Assist. prof. 1
<b>Assoc. prof. 2 (research profile) v</b>	Assoc. prof. 1	Assist. prof. 1	Assoc. prof. 2
<b>Assoc. prof. 2 (teaching profile)</b>	Assist. prof. 1	Assoc. prof. 1	Assoc. prof. 2
<b>Assoc. prof. 2 (valor. profile)</b>	Assist. prof. 1	Assoc. prof. 2	Assoc. prof. 1
<b>Assoc. prof. 1 (wide)</b>	Assoc. prof. 1	Assoc. prof. 1	Assoc. prof. 1
<b>Assoc. prof. 1 (research profile) t</b>	Full prof. 2	Assoc. prof. 1	Assoc. prof. 2
<b>Assoc. prof. 1 (research profile) v</b>	Full prof. 2	Assoc. prof. 2	Assoc. prof. 1
<b>Assoc. prof. 1 (teaching profile)</b>	Assoc. prof. 2	Full prof. 2	Assoc. prof. 1
<b>Assoc. prof. 1 (valor. profile)</b>	Assoc. prof. 2	Assoc. prof. 1	Full prof. 2
<b>Full prof. 2 (wide)</b>	Full prof. 2	Full prof. 2	Full prof. 2
<b>Full prof. 2 (research profile) t</b>	Full prof. 1	Full prof. 2	Assoc. prof. 1
<b>Full prof. 2 (research profile) v</b>	Full prof. 1	Assoc. prof. 1	Full prof. 2
<b>Full prof. 2 (teaching profile)</b>	Assoc. prof. 1	Full prof. 1	Full prof. 2
<b>Full prof. 2 (valor. profile)*</b>	Assoc. prof. 1	Full prof. 2	Full prof. 1
<b>Full professor 1</b>	Full prof. 1	Full prof. 1	Full prof. 1

Promotion to full professor 1 can only take place if the criteria for this job category are met in all three areas: research, teaching and valorisation.

\*Candidates for Professor 2 with valorisation profile – and additional performance on valorisation,

above the level of professor 1 - can count max. two internationally reviewed practice-oriented publications as 0.8 publications.

### 3 TENURE TRACK

For young academics, a period of five years is agreed within which they will have the opportunity to develop both their research and teaching skills and prepare for the next step in their career. The next step is a permanent position as Assistant Professor 1.

During the tenure track, these staff members are given the opportunity to devote 40% of their working hours to research. The remaining 60% of their working hours are basically spent on teaching.

Assistant Professors are only appointed through the tenure track within the school. The admission requirements are:

- the candidate holds a PhD (or has sent an approved thesis to the thesis committee)
- the candidate should preferably have presented two papers to international journals of good repute
- the candidate must have relevant teaching skills, as evidenced by good evaluations and by giving lectures or seminars during the PhD programme
- the candidate must have a relevant international network, as evidenced by his/her attendance at conferences and seminars and presenting his/her own research.

A new assistant professor is appointed for a period of six years. Upon commencement of employment, the staff member will devote 0.4 FTE to research. If the staff member already qualifies for more research time at that moment, the ceiling of 0.4 FTE will nevertheless be maintained.

#### 3.1 PROCEDURE

In addition to the annual evaluation that takes place as part of the system of annual interviews, staff members will be evaluated at two further points in time:

- at the end of the second year (advice on progress)
- at the end of the fifth year (in relation to the conversion of his/her employment contract into a permanent contract)

The SBE Board has established a permanent tenure track committee which is responsible for overseeing the development of those who hold tenure tracks during their employment and for advising the SBE Board regarding their progress after two years and regarding permanent tenure after five years. The committee (via the personnel consultant) also updates the head of department regarding its recommendation to the SBE Board. The SBE Board has the final authority to decide whether a staff member will be granted permanent tenure.

##### Membership of tenure track committee

- three professors, of which at least one professor is a head of department
- personnel consultant.

##### The role of the head of department

The head of department is responsible for submitting the portfolio of his/her staff member to the Tenure Track Committee for both assessments (in practice this will be done via the personnel consultant). The following documents are required:

- an accompanying letter from the head of department detailing the results achieved by the



- staff member
- including a recommendation on his/her appointment
- curriculum vitae
- list of publications
- a teaching dossier
- the report from the last annual interview.

### 3.2 EVALUATION CRITERIA FOR THE SECOND YEAR

During the evaluation at the end of the staff member's second year, the staff member is expected to be well on schedule in terms of publications, which means that a number of papers will have been submitted to international journals. Additionally, within 18 months of the commencement of his/her employment, the staff member (if he/she shows some degree of promise) is expected to have submitted a Veni proposal to the Dutch Organisation for Scientific Research (NWO) for a substantial grant or to have acquired external funding (EU, business, government). If the NWO rejects a Veni proposal that has been submitted, a second attempt must be submitted as soon as possible. If the Veni grant is awarded, the research time allocated to the staff member will be extended to 0.75 FTE. The remaining 0.25 FTE will be devoted to teaching and administrative duties.

The teaching dossier must demonstrate that the staff member has devoted the agreed number of hours to teaching and is deemed likely to acquire the basic teaching qualification within three years of his/her appointment. The evaluations in the dossier must predominantly be 'satisfactory' or better. In the case of negative evaluations, concrete agreements are to be made regarding a realistic improvement plan.

### 3.3 EVALUATION CRITERIA FOR THE FIFTH YEAR

The criteria for research, teaching and organisation in the UFO job profile Assistant Professor 1 serve as the basis for the evaluation of the staff member, in addition to the following SBE-specific criteria.

#### Teaching

The staff member must have acquired the Basic Teaching Qualification (BKO) for university teaching staff.

The teaching dossier demonstrates that the staff member has spent approximately 60% of his/her working hours on teaching over the last two years. If there is a substantial deviation from this number of hours, the Tenure Track Committee must decide how this information will be taken into account when applying the research criteria.

The teaching dossier demonstrates that:

- at least half of the time actually spent on teaching has been used for (preparation for) lectures, seminars and thesis supervision
- there have been at least 50 contact hours in the form of lectures for at least two different subjects
- at least three master's theses have been supervised.

The teaching dossier includes no aspects that have been evaluated as almost satisfactory or unsatisfactory, either from the student perspective or from the organisational perspective. The dossier as a whole provides a good basis for the expectation that the staff member will develop into a versatile member of teaching staff who will be able to carry out teaching duties at various levels to the

satisfaction of both the students and the organisation.

## Research

### *Publications*

The publication criterion is defined as the minimum number of publishing points that must be scored over a five-year period. The term publishing points refers to the SBE journal weightings (AIF percentile squared), which are adjusted for the number of authors (multiplied by 0.75 for publications with multiple authors). The criterion is set at 1.85 publishing points. Furthermore, there must be a prospect of continued development as a researcher, generally evidenced by several publications 'in the pipeline'.

### *Indirect and contract funding*

Application for second or third-party funding submitted. If an application for a Veni, Vidi or ERC-grant cannot be submitted, then the candidate should apply for other second or third party funding, like for example a Marie Curie individual fellowship, have an important role in either an NWO/EU collaboration project application or secure contract-research of significant size. The application for tenure should be accompanied with proof of (serious attempts) of applications for second or third party funding. (SBE's research office or VU's Grants desk can offer help preparing applications).

### *Research supervision*

Active involvement in the supervision of at least one candidate currently participating in a PhD programme.

## Valorisation

One of the three valorisation themes below is met:

### *Social impact through strategic themes, through activities such as:*

- concrete substantial contact with media (e.g. via interview, opinion article, reference in non-academic source via Altmetrics)
- involvement in a consultation with business/government/non-profit
- activities aimed at increasing the name recognition for SBE or the research group (e.g. nominated for a professional award, a role in a professional conference)
- publication in professional journal(s)

Or:

### *Structural cooperation with partners, through activities such as:*

- significant contribution to the establishment of external partnerships with industry/government/non-profit aimed at valorisation of education and/or research
- involvement in training/guidance activities (such as training or workshops) in business (including start-ups/spin-offs), government or non-profit organisations.

Or:

### *Creating financial leeway, through activities such as:*

- a clear role in submitting proposals for contract research funding by his or her group (with a clear societal impact component)
- contract education for his or her group of reasonable size (with companies, government and/or non-profit organisations).

### 3.4 RESULT OF EVALUATION IN THE FIFTH YEAR

Based on the recommendation of the tenure track committee, the SBE Board will take the following decisions.

#### *Situation A*

The staff member meets the requirements of the UFO job profile for Assistant Professor 1 and the additional SBE-specific criteria set out above. The staff member receives an employment contract of indefinite duration and is promoted to the position of Assistant Professor 1.

#### *Situation B*

The staff member does not meet all the requirements specified. The staff member has scored less than 1.85 points but is performing well in terms of teaching and organisation. This means that the teaching dossier needs to be supplemented with additional information where necessary in order to illustrate that the staff member has spent 60% of his/her working hours on teaching over the duration of the entire tenure track, that this time has been devoted to a wide range of tasks including final responsibility for course components on a regular basis. Furthermore, student evaluations and organisational evaluations must be predominantly 'good' or 'very good'. The tenure track committee may advise the SBE Board to postpone the decision on tenure on the basis of dossier as a whole (for up to 6 months before the end of the contract) in order to give the staff member more time to meet the research criteria. The final decision on tenure will then be taken.

#### *Situation C*

The staff member does not meet all the requirements specified. The staff member has met the criteria relating to publication, but the teaching dossier does not provide grounds to suppose that the staff member will develop into a versatile member of teaching staff who will be able to carry out teaching duties at various levels to the satisfaction of both the students and the organisation. The tenure track committee may advise the SBE Board to postpone the tenure decision on the basis of dossier as a whole (for up to 6 months before the end of the contract) in order to give the staff member more time to demonstrate an improvement in his/her versatility as a teaching staff member and his/her performance in teaching. The final decision on tenure will then be taken.

#### *Situation D*

The staff member does not meet the requirements set. The employment contract of the employee is not extended.

### 3.5 SPECIFIC PROVISIONS

Although the duration of the contract is six years, the evaluation takes place after five years. In the event of a positive evaluation after five years, the staff member is given a permanent employment contract (tenure).

If a permanent employment contract is not awarded after five years, the staff member has one year remaining of the current contract in order to look for alternative employment. In consultation with HR, staff members may be offered coaching or other forms of support.

If the staff member performs particularly well, the evaluation may be carried out early and tenure may be offered.

If a permanent employment contract is offered, the staff member will write a research proposal to be

submitted to the NWO's Innovative Research Incentives Scheme (Vidi or Vici) and the ERC program (starting grant or advanced grant) during the first year of his/her permanent employment. If this proposal is rejected by both programmes, the staff member must then submit a revised proposal to one of the programmes the following year.

The dissertation is not included in the evaluation of the staff member's research in relation to tenure.

To participate in the tenure track system, a minimum of 0.8 FTE will be applied in relation to working hours. Employees who work 0.8 FTE will be allocated 0.4 FTE for research. In cases where research cannot be carried out for an extended period of time (for example, in the event of parental or maternity leave, long-term sick leave, etc.), it is possible to postpone the evaluation until the end of the sixth year.

This system applies to newly appointed Assistant Professors. An incumbent staff member who is seeking promotion to the function of Assistant Professor 1, must meet the criteria set out above.

For the appointment of a participant in the tenure track system, the existing appointment procedure may be extended with an extra check on the candidate, which involves evaluating the likelihood of the candidate successfully concluding the tenure track. This check will be carried out by the SBE Board.

## **4 APPOINTMENT TO THE POSITION OF ASSOCIATE PROFESSOR 2 AND ASSOCIATE PROFESSOR 1**

Since 2015, SBE has had a permanent SBE Appointments Committee which is responsible for advising the SBE Board on promotions to Associate Professor 2, Associate Professor 1 and Professor 1 within the school. The appointments committee meets four times a year. The dates of its meetings are listed on the website as well as the deadlines for the submission of dossiers.

### **4.1 PROCEDURE**

#### **Composition of Faculty Appointments Committee**

The SBE Appointments Committee consists of the following members:

- six professors, including at least one man, one woman and one Director of Studies
- personnel consultant
- maximum of two ad hoc members who are familiar with the scientific discipline of the employee.

If the head of department is a permanent member of the appointments committee, he/she will adopt a cautious position if the portfolio of his/her own staff member is being discussed by the committee.

#### **The role of the head of department**

The head of department must submit a request for the promotion of the staff member to the SBE Appointments Committee, including the following documents:

- reasoned letter from the head of department that addresses the UFO and the SBE-specific criteria
- curriculum vitae
- list of publications
- teaching dossier
- annual interview report.

#### **Role of the SBE Board**

On the basis of the recommendation of the committee and the dossier in its entirety, the SBE Board will decide whether the staff member is to be promoted and informs the committee of its decision.

### **4.2 EVALUATION CRITERIA FOR ASSOCIATE PROFESSOR 2**

A promotion or appointment to the post of Associate Professor 2 is possible provided there is compliance with the criteria relating to teaching, research and organisation, as defined in the UFO job profile for Associate Professor 2, and provided the additional SBE-specific criteria set out below have been met.

#### **Teaching**

The staff member has acquired the Basic Teaching Qualification.

The teaching dossier demonstrates that during the past two years, the staff member has:

- devoted the allocated proportion of his/her working hours to teaching in reality, and that teaching has accounted for at least 40% of his/her working hours
- provided teaching for bachelor's and master's levels, each accounting for approximately 20% or more of the available teaching time

- acted as course coordinator for at least one course involving 50 or more students, or held a similar responsibility in relation to his/her teaching activities
- devoted approximately 100 hours or more to cross-curricular/administrative teaching activities (planning, coordination, programme committee membership, etc.)
- contributed demonstrably to effective educational innovation (in terms of teaching methods and/or content)
- teaching dossier includes no elements that have been evaluated as 'almost satisfactory' or 'unsatisfactory', either from the student perspective or from the organisational perspective. The evaluations associated with both perspectives are predominantly 'good'.

## Research

### *Publications*

The lifetime production of the staff member will be considered. This must meet one of the following criteria (expressed in AI percentages (AIP) without correction for the number of authors):

- six publications (lifetime production) of which two have an AIP of at least 90; or two with an AIP of at least 70 and two with an AIP of at least 80

or:

- three publications with an AIP of at least 90.

In addition the candidate must qualify for (the lower limit of) research time according to the faculty system for the allocation of research time.

### *Indirect and contract funding*

Veni, Vidi or ERC applications submitted to NWO or EC (or equivalent for contract funding).

### *Research supervision*

Supervisor to at least one PhD student; co-supervisor of doctoral students is highly recommended.

### *Membership of editorial board(s)*

Active reviewer/editor for several journals.

### *Research coordination*

Establishment and coordination of research which has an important place in faculty research programmes.

## Valorisation

Two of the three valorisation themes below are met:

### *Social impact through strategic themes, through activities such as:*

- concrete contact with media (e.g. by interview, opinion piece, reference in non-academic source via Altmetrics) – at least once a year
- an apparent leading role in the implementation of a consultation with business/government/non-profit
- an apparent leading role in an activity aimed at increasing the name recognition for SBE or the research group (e.g. nominated for a professional award, a role in a professional conference)
- several publications in professional journals that make science socially accessible.

### *Structural cooperation with partners, through activities such as:*

- an important role in initiating external partnerships with industry/government/non-profit

- aimed at valorisation of education and/or research
- demonstrable involvement in training/guidance activities (such as training or workshops) to the business community (including start-ups/spin-offs), non-profit organisations or government.

*Creating financial leeway through activities such as:*

- a leading role in realizing paid third party funded contract research or contract education for his or her group of significant size (with companies, government and/or non-profit organisations)
- demonstrable involvement in the acquisition of co-financing for his or her group for projects or in the acquisition of funds from the use of tools and models by third parties developed at SBE.

### 4.3 EVALUATION CRITERIA FOR ASSOCIATE PROFESSOR 1

The assessment criteria supplement the UFO job profile for Associate Professor 1.

#### Teaching

The staff member has acquired the Basic Teaching Qualification. Acquiring the 'SKO' teaching qualification (or Educational Leadership) is highly recommended

The teaching dossier demonstrates that during the past two years, the staff member has:

- devoted the allocated proportion of his/her working hours to teaching in reality, and that teaching has accounted for at least 40% of his/her working hours
- provided teaching at bachelor's and master's levels, and has provided teaching for a research school, a university college, a programme of executive education, or an honour's programme
- acted as course coordinator for at least one course involving 100 or more students and has also acted as coordinator for teams of multiple (>2) teaching staff members, or has held a similar responsibility in relation to teaching
- served in a managerial role for cross-curricular educational activities (e.g. chair of Programme Committee, programme coordinator)
- undertaken substantial and effective initiatives in the field of educational renewal, aimed particularly at improving or maintaining the connection between education and the learning outcomes of the programme and relevant social and academic developments.

The teaching dossier includes no elements that have been evaluated as 'almost satisfactory' or 'unsatisfactory', either from the student perspective or from the organisational perspective. The evaluations from both perspectives are predominantly 'good'.

#### Research

For a promotion to Associate Professor 1, the lifetime production of the staff member will be considered. This must meet one of the following criteria (expressed in AI percentages without correction for the number of authors):

- eight publications (lifetime production) of which four have an Alp of at least 70 and four have an Alp of at least 80

or:

- four publications with an Alp of at least 90.

In addition the candidate must qualify for (the lower limit of) research time according to the faculty system for the allocation of research time.

#### *Indirect and contract funding*

Significant funding secured (NWO/ERC) (or equivalent for contract funding).

#### *Research supervision*

Co-supervisor of several PhD students.

#### *Research coordination*

Coordination of and responsibility for the realization of a research programme or responsibility for the planning and realization of a long-term specialist research project that is relevant and visible to science, society and, where possible, government and industry.

#### *Citations*

75 Web of Science.

#### *Membership of editorial board(s)*

Membership of the editorial board of one or more ISI journals.

#### *Fellowship*

TI/ABRI fellow.

### **Valorisation**

*Social impact through strategic themes, through activities such as:*

- regular concrete contact with media (e.g. via interview, opinion piece, reference in non-academic sources via Altmetrics)
- initiator of consultation, product or service for business/government/non-profit and involved in the implementation
- involvement (multiple times) in activities aimed at increasing the name recognition for SBE or the research group (e.g. nominated for a professional award, a role in a professional conference)
- several publications in professional journals that make science socially accessible.

*Structural cooperation with partners, through activities such as:*

- an initiating role in setting up consortia and partnerships with business/government/non-profit organisations aimed at valorisation of education and/or research
- demonstrable involvement in training/guidance activities (such as training or workshops) to the business community (including start-ups/spin-offs), non-profit organisations or government.

*Creating financial leeway through activities such as:*

- an ultimately responsible role in realizing paid third party funded contract research or contract education for his or her group of significant size (with companies, government and/or non-profit organisations)
- responsibility for the acquisition of co-financing for projects for his or her group, or for the acquisition of funds for his or her group from the use of tools and models by third parties developed by SBE.



## 5 APPOINTMENT TO THE POSITION OF PROFESSOR

For the appointment procedure relating to the post of professor, the procedure remains as set out in the university's Professorship Policy and in the SBE Professorship Policy. This means that a chair must be established, an Appointment Advisory Committee must be formed, and an open recruitment procedure must take place, unless specific arrangements have been made for a closed recruitment procedure. The university Professorship Policy makes extensive provisions for this.

In terms of recruitment, an evaluation is made of whether candidates meet the profile for the position of professor. Simply consulting the UFO requirements for a professor and the fulfilment of the additional faculty requirements is not sufficient. The entire profile must provide convincing 'evidence of esteem': candidates must demonstrate that they have an international reputation and are considered to be authorities in their field. For Professor 2, this can mean that there is international recognition of the potential of the staff member concerned, while for Professor 1 an established record of intellectual leadership in the field is required.

The candidate must be a scientist who is viewed as an authority within the faculty, the university and beyond. Candidates must carry out pioneering research and are held in national and international high esteem in academic circles. They are inspired scientists who transfer their knowledge to students, junior researchers, and society in an enthusiastic and natural way.

The requirements do not apply to professors with a societal profile, who are often appointed for the post-graduate programmes within the school.

The criteria formulated offer a head of department the opportunity to determine quantitative or qualitative requirements with his/her employees. In addition to the number of publications (quantitative requirement), departments can also make agreements with a particular individual regarding the quality of publications. The 'steps' (the publication criterion for that professor) allow scope for this.

### 5.1 FACULTY REQUIREMENTS FOR PROFESSOR 2

The lifetime production of the staff member in the fields of both research and teaching will be considered.

#### Teaching

The teaching dossier provides an overview of the entire teaching career of the staff member, demonstrating convincingly that he/she is able to teach at different levels and is capable of providing educational leadership and overseeing educational innovation.

The standard teaching dossier will, in this case, form only a part of the information provided on teaching, which is intended to demonstrate and evidence the staff member's continued contribution to high-quality teaching.

In practical terms, this means that the nature of the teaching criteria remains broadly the same as for appointment to the position of Associate Professor 1, but it is also expected that the staff member has demonstrated the relevant qualities to a greater degree, across a wider range of activities and over a longer period. This means that:

- The staff member has acquired the SKO Teaching Qualification (or has successfully completed the Educational Leadership course).

- The teaching dossier (including teaching activities from the previous two years) demonstrates that:
  - The staff member has devoted the allocated proportion of his/her working hours to teaching in reality, and that teaching has accounted for at least 40% of his/her working hours.
  - The evaluations for all aspects are 'good' or 'very good'. If one component is evaluated as lower than this, it is clear that this is a temporary aberration.
  - At least one aspect has been evaluated as 'very good'.
- The teaching dossier, possibly in conjunction with additional information about the staff member's entire career, demonstrates that the staff member:
  - has made a valued contribution to a wide variety of programmes (bachelor's and master's level, graduate school, university college, executive education, honour's programme). This requirement does not pertain to occasional teaching for different programmes but requires evidence of the staff member's long-term capacity to provide teaching for a variety of academic levels and educational programmes
  - has a range of experience in teaching coordination at the subject level (in particular coordinating courses with large numbers of students and involving multiple colleagues).
  - where courses have been repeated, has served in an administrative role for cross-curricular educational activities (e.g. chair of Programme Committee, chair of Examination Board, programme coordinator)
  - has undertaken substantial and effective initiatives in the field of educational renewal, aimed particularly at improving or maintaining the connection between education and the learning outcomes of the programme and relevant social and academic developments.

## Research

### *Publications*

Lifetime production must meet one of the following criteria (expressed in AI percentages without correction for the number of authors):

- There are x publications, whereby x is no greater than 20, and the researcher has at least x publications with an Alp of at least  $(100 - 1.5 * x)$ . (Therefore: at least one with an Alp of 98.5, or two with an Alp of 97, and so on, down to at least 20 with an Alp of 70).

For professorial chair candidates within the departments of Economics, Regional, Urban and Environmental Economics and Econometrics, the following additional requirements apply:

- at least ten publications with an Alp of at least 80
- at least four publications with an Alp of at least 90.

### *Indirect and contract funding*

Significant funding secured (NWO/ERC) (or equivalent for contract funding).

### *Research supervision*

Co-supervisor of several full-time PhD students.

### *Membership of editorial board(s)*

Member of the editorial board of one or more ISI journals with Alp >0.8.

### *Fellowship*

TI/ABRI fellow.

### *Research coordination*

Translation of developments in the research field into national research programmes.

### *Citations*

200 Web of Science.

### **Valorisation**

*Social impact through strategic themes, through multiple activities such as:*

- regular concrete contact with media (e.g. via interview, opinion piece, reference in non-academic source via Altmetrics)
- Initiator at a consultation, product or service for business/government/non-profit and involved in the implementation
- initiator of and involved in the implementation of multiple consultations/products/services and initiator of and involved in various activities aimed at increasing the name recognition for SBE or the research group (e.g. nominated for a professional award, a role in a professional conference)
- publish in international professional journals and makes science accessible to society through professional publications.

*Structural cooperation with partners, through multiple activities such as:*

- had an initiating role in setting up consortia and partnerships with business/government/non-profit organisations aimed at valorisation of education and/or research
- regularly involved in training/guidance activities (such as training or workshops) for the business community (including start-ups/spin-offs), non-profit organisations or government.

*Creating financial leeway, through multiple activities such as:*

- has played a responsible role multiple times in realizing paid third party funded contract research or contract education for his or her group of significant size (with companies, government and/or non-profit organisations)
- has been responsible multiple times for the acquisition of co-financing for projects, or for the acquisition of funds for his or her group from the use of tools and models by third parties developed by SBE.

## **5.2 FACULTY REQUIREMENTS FOR PROFESSOR 1**

Requests for promotion to Professor 1 are reviewed by the SBE Appointments Committee. The task of the committee is to provide a recommendation on the promotion for the SBE Board.

### **5.2.1 PROCEDURE**

#### **Composition of SBE Appointments Committee**

The SBE Appointments Committee consists of the following members:

- six professors, including at least one man, one woman and one Director of Studies
- personnel consultant
- maximum of two ad hoc members who are familiar with the scientific discipline of the staff member.

If the head of department is a permanent member of the appointments committee, he/she will adopt a cautious position if the portfolio of his/her own staff member is being discussed by the committee.

#### **The role of the head of department**

The head of department must submit a request, through the personnel consultant, for the promotion

of the staff member to the SBE Appointments Committee, including the following documents:

- A reasoned letter from the head of department that addresses the UFO and the SBE-specific criteria
- curriculum vitae
- list of publications
- a teaching dossier
- annual interview report.

### **Role of the SBE Board**

On the basis of the recommendation of the committee and the dossier in its entirety, the SBE Board decides whether the staff member is to be promoted and informs the committee of its decision.

### **5.2.2 SBE-SPECIFIC CRITERIA**

Appointment as Professor 1 is possible if the requirements for Professor 2 in relation to teaching, research and valorisation are met, and if the additional requirements listed below are met as well.

#### **Teaching and administration**

1. While the criteria outlined under Professor 2 primarily involve an internal focus, at this level a nationally and preferably internationally established reputation in terms of teaching expertise is expected, as evidenced by indicators such as:
  - recurring membership or chair(wo)manship of accreditation committees
  - author of internationally acclaimed textbooks
  - regular functioning as advisor or expert in the field of educational issues
  - widely recognized contributions to educational innovation
  - giving lectures or presentations, receiving invitations to speak as keynote speaker at (national or international) educational conferences or study days.

And:

2. valuable managerial qualities, as demonstrated by successful functioning as head of department, director of a programme of a significant size, or similar roles.

#### **Research**

##### *Publications*

For a promotion to Professor 1, the lifetime production of the staff member will be considered. This must comply with the publication requirements for Professor 2, with the additional requirement that five articles must have been published in a journal with an Alp of 0.93 or higher. For Professor 2, the requirement of four articles in journals with an Alp of at least 0.9 will therefore automatically have been met. The requirement of at least 10 publications with an Alp of at least 80 is also applicable.

##### *Indirect and contract funding*

Significant funding secured (NWO/ERC) (or equivalent for contract funding).

##### *Research supervision*

Substantive supervision of academic staff members who are engaged in research activities  
Supervising professor of several full-time PhD students (at least 3).

##### *Membership of editorial board(s)*

Member of the editorial board of one or more ISI journals with an Alp >0.9.

*Fellowship*

TI/ABRI fellow.

*Research coordination*

Translation of developments in the research field into international research programmes.

*Citations*

500 Web of Science.

**Valorisation**

*Social impact through strategic themes, through multiple activities such as:*

- authoritative figurehead in contact with media and also seen as such by media (e.g. via interview, opinion piece, reference in non-academic source via Altmetrics)
- initiator of multiple consultations, products or services for business/government/ non-profit and is involved in the implementation
- driver of activities aimed at increasing the name recognition for SBE or the research group (e.g. nominated for a professional award, a role in a professional conference)
- The employee publishes in international journals and makes science accessible to society through professional publications.

*Structural cooperation with partners, through multiple activities such as:*

- have a leading role in setting up consortia and partnerships with business/government/non-profit organisations aimed at valorisation of education and/or research
- visible in training/guidance activities (such as training or workshops) to the business community (including start-ups/spin-offs), non-profit organisations or government.

*Creating financial leeway, through multiple activities such as:*

- has played an ultimately responsible role in realising leading and comprehensive third party funded contract research or contract education for his or her group, involving multiple departments (together with companies, government and/or non-profit organisations).
- has been responsible multiple times for the acquisition of co-financing for his or her group for large-scale projects, or for acquisition of funds from the use of tools and models by third parties developed at SBE.