



Guidelines on appointment
and promotion criteria
Faculty of Science 2019

Contents

Contents	1
1. Introduction	2
2. Basic principles of applying the appointment and promotion criteria.....	3
2.a UFO and UvA framework for appointment- and promotion criteria of academic staff...	3
2.b Appointment versus promotion.....	3
2.c Ratio between research, education and organisation, and balanced evaluation	4
2.d Tailor-made approach to weighing against the applicable criteria.....	4
2.e Diversity and work-life balance	4
2.f Earning capacity and research profile	5
2.g Competences	5
3. Appointment and promotion of assistant professor 2 to associate professor 1.....	6
3.a The importance of annual consultations.....	6
3.b Role of the employee.....	6
3.c Role of the supervisor	7
3.d Assigned tasks and UFO classification	7
3.e Assessment committee (BOAC)	8
3.e.1 Composition of the assessment committee	8
3.e.1 Procedure of the assessment committee.....	8
3.e.3 The advisement report and the assessment.....	8
3.e.4 No positive assessment.....	9
4. Professorial appointments and career development agreement for associate professor 1 to full professor 2.....	10
4.a Professorial appointments	10
4.b Career development agreement for associate professor 1 to full professor 2.....	10
4.b.1 Conclusion of a career development agreement.....	10
4.c Faculty advisory committee on professorial nominations.....	11
4.c.1 Composition of the faculty advisory committee	11
4.c.2 Procedure of the faculty committee.....	12
4.c.3 Assessment advisement report	12
4.c.4 No positive assessment.....	12
4.d Appointment advisement report for the professorial nomination.....	12
Appendix 1: Guidelines on the composition of the assessment committee.....	13
Appendix 2: Step-by-step plan for the promotion of assistant professor 2 to assistant professor 1.....	14
Appendix 3: Step-by-step plan for the promotion of assistant professor 1 to associate professor 2, and associate professor 2 to associate professor 1	15
Appendix 4: Step-by-step plan for career development agreement for associate professor 1 to professorial nomination.....	16

1. Introduction

The academic staff of the Faculty of Science form the ‘backbone’ of our academic research and education. The recruitment and retention of academic talent is therefore a key objective of staffing policy.

To that end, having clear criteria for the appointment and promotion of academic staff is a prerequisite. These criteria¹ clearly specify the requirements a staff member in a certain position at a certain job level should meet. They serve as a tool for the recruitment and selection of staff as well as for determining current employees' career prospects. They provide insight into whether and in what way staff might continue to develop their career and offer supervisors guidance in determining and assessing the achievements of and development opportunities for staff. The Faculty's career development policy is based on the principle that staff bear and should take responsibility for managing their own career.

In 2007, the Faculty of Science adopted the requirements for appointments and promotions to supplement the generic University Job Classification System (UFO). However, due to various policy initiatives (such as the HR-agenda 2015-2020), changing insights and expectations relating to educational and research achievements, and leadership, the requirements for appointments and promotions dating from 2007 are no longer compatible with the career development policy for the positions of assistant professor, associate professor and full professor. The 2007 requirements insufficiently take the valuation of educational achievements into consideration and, in addition to individual achievements, team achievements and collaboration are becoming more important. Furthermore, the Faculty of Science and the University of Amsterdam wish to place greater emphasis on leadership in staffing policy.

For the reasons outlined above, in 2019 the Faculty revised the above requirements for permanent academic staff positions (assistant professor, associate professor and full professor)². This has resulted in a new set of criteria centring on the main question: ‘What do we expect from staff in the teaching, research and organisation task areas?’ This is supplemented with indicators that can be used to assess the criteria. The indicators are usually described using a number of (non-exhaustive) examples and include the possibility of applying them, taking account of the specific characteristics of the scientific discipline. By providing clear criteria serving as a benchmark for a balanced, comprehensive assessment, in which there is room for discipline-related differences and a tailor-made approach, the Faculty aims to increase the transparency of the employment and career development policy.

These guidelines set out the basic principles and procedures for applying the 2019 appointment and promotion criteria to assistant professor, associate professor and full professor positions.

¹ In a formal sense, we refer to the ‘requirements for appointments and promotions’, however, in practice the term ‘criteria’ is preferred.

² The current supplementary Faculty of Science requirements for appointments and promotions dating from 2007 remain in force for the positions of researcher and lecturer for the time being.

2. Basic principles of applying the appointment and promotion criteria

In de volgende paragrafen staan de uitgangspunten beschreven bij de toepassing van de herziene benoemings- en bevorderingscriteria.

2.a UFO and UvA framework for appointment- and promotion criteria of academic staff

Based on the University Job Classification System (UFO, Collective Labour Agreement for Dutch Universities - CAO NU, Article 5.3.1.) every employee of a Dutch university is classified into a job profile with a corresponding job level³. Employees are classified into a UFO job profile based on the tasks assigned to them, and classification criteria are used to determine their job level and corresponding salary scale.

The UvA Executive Board has adopted a framework defining the requirements for appointments and promotions that a candidate should meet. The Framework for Requirements for Appointments and Promotions of UvA Academic Staff (April 2006) contains the requirements applicable to entering into a new employment contract and to promotions. The Framework document specifies the applicable university-wide requirements for each position and level, as well as the requirements the faculties may specify individually.

The faculty appointment and promotion criteria are supplementary to the UvA appointments and promotions framework. Candidate criteria for each academic rank (UFO profile/level) have been formulated in the teaching, research and organisation task areas. Specific criteria, supplementary to the faculty appointment and promotion criteria, apply to a tenure track employment contract and to a career development agreement. These criteria are included in the tenure track contract and in the written career development agreement⁴.

2.b Appointment versus promotion

In order to determine whether an academic staff member meets the applicable criteria for a proposed promotion, a careful assessment is made of the manner in which the candidate has performed the assigned tasks over a certain period of time and has proved that he or she meets the criteria. The revised criteria form the framework on which the assessment is based. The indicators described are intended as examples for assessment that can be applied with the specific characteristics of the scientific discipline. In the case of entering into employment (i.e. an appointment), given that there is no assessment for a preceding period, it is difficult to determine whether the candidate has proved that he or she meets all the requirements. Moreover, there may be a competitive talent recruitment procedure, in which not only proven qualities but also potential are taken into consideration. In that case, the selection committee's judgement of the candidate's reasonably expected potential will have to be relied on, preferably with a tailor-made track, including supervision and coaching where necessary.

³ See the entry 'job profiles' in the A-Z list (log in via this website to the VSNU website containing UFO profiles).

⁴ The mandate holder for Personnel Affairs is required to sign both a tenure track contract and a career development agreement.

2.c Ratio between research, education and organisation, and balanced evaluation

The Faculty has no strictly quantitative standards that apply to the ratio between teaching, research and organisational tasks. Permanent academic staff⁵ are expected to make a substantial contribution to all three task areas, in accordance with the UFO profile. It is possible to respond to specific situations and developments within reasonable limits by varying the ratio between education, research and organisational tasks over time. However, all tasks are still required to be combined and performed at the required quality level. At certain stages of their career an assistant or associate professor may spend relatively more time on teaching than on research or vice versa. In such cases, it is important to take this into consideration when making an assessment against the appointment and promotion criteria.

2.d Tailor-made approach to weighing against the applicable criteria

The principle of combining education, research and organisation does not imply that all staff are required to deliver equal achievements in all three task areas. It is not uncommon for academic staff to deliver excellent performance in one of the three task areas and to deliver good performance across the board in the other two task areas, but not (completely) meet all the applicable criteria. In those cases, it may be appropriate, at the discretion of the assessment committee or the formal assessor, when weighing against the criteria for the task areas in which the staff member delivers good performance but has not (completely) met all the criteria, to take into consideration that the staff member has delivered very good performance in the other task area. Examples of an excellent achievement in a certain result area are described as ‘additional criteria’. If this is the case, in the opinion of the assessment committee or the assessor, this must be clearly stated in the assessment advisement report⁶ or in the written assessment.

2.e Diversity and work-life balance

The revised appointment and promotion criteria are in line with the faculty policy to promote diversity and a better gender balance in academic positions. This applies to both the selection of new staff and to the assessment of incumbent staff. An eye on diversity is also reflected in the guidelines on the composition of the assessment committee and the bias training courses taken by the committee members (see under 3.e.1).

It is not unusual for academic staff to take special leave⁷ at certain stages in their career or to work part-time. Absence due to long-term leave and part-time work have an impact, for example, on the ‘quantity’ of research output and achievements. Needless to say, in the assessment and review against the applicable criteria, the situations described above should be taken into account and the quantitative achievements should not be benchmarked against a full-time staff member who has not taken special leave.

⁵ Permanent staff include all assistant professors, associate professors and full professors.

⁶ An assessment advisement report is a report issued by a committee charged by the director of the institute with drawing up an advisory assessment. For more information, see Section 3.e.3.

⁷ Maternity leave, parental leave, long-term care leave and sick leave.

2.f Earning capacity and research profile

The extent to which an individual has the ability to design a vital, recognisable line of research is determined in part by successfully applying for and acquiring personal grants (VENI, VIDI, VICI, ERC) and this may therefore be used as one of the indicators for assessing the candidate's performance. However, acquiring a considerable project grant in a collaboration, to which the staff member has made a demonstrable, substantial contribution need not be subordinate to acquiring a personal grant. Acquiring projects in a public-private partnership and attracting researchers with a scholarship and PhD candidates also contribute to profiling the staff member's research. To allow room for individual and discipline-related differences, the criteria against which successful acquisitions are assessed should be formulated in such a manner that both individual grants and projects acquired in a collaboration can be taken into consideration.

Applicants seeking to acquire a personal grant face tough and considerable competition. In some cases, a staff member may have put a lot of time and effort into a highly promising application and still not secure the grant despite having received an excellent assessment. Even though a grant has not been acquired, the staff member has delivered a performance that is taken into account in their assessment. It should also be taken into consideration that it is more difficult to acquire a personal grant for some research areas because they are less suitable for such grants and grant providers are not particularly interested in them, or because the level of competition is extremely high. In order to take these differences into account, the phrase 'in line with standards applicable to the discipline' has been included in the examples formulated for assessing the degree of success in applying for indirect government funding and contract research funding.

2.g Competences

Assessment against the competences linked to the position may be an effective method of determining whether a staff member meets the applicable criteria. Four competences are linked to each UFO profile (based on the UFO competence handbook, see footnote 3). Each competence consists of a number of behavioural indicators that can be used to determine whether the staff member meets the required level of competence. The competences are as follows (April 2019):

- Assistant professor: conceptual skills, situational focus, presentation skills and results oriented.
- Associate professor: situational focus, vision, persuasiveness and management by results.
- Full professor: vision, persuasiveness, entrepreneurship and collaborative leadership.

If necessary, one or more of the above competences may be replaced by a competence that is more characteristic of the discipline or is deemed to be more important for an institute.

3. Appointment and promotion of assistant professor 2 to associate professor 1

Appointment: An appointment refers to the employment of a new staff member, prior to which the designated selection committee will draw up an advisement report on the appointment for the director of the institute. The report includes an assessment against the appointment requirements applicable to the position (UvA framework and the revised supplementary faculty criteria) and the UFO criteria. If the candidate meets the appointment criteria, the director of the institute submits a proposal to employ the candidate. The mandate holder for Personnel Affairs makes a decision on the proposal. In principle, assistant professors and associate professors at first receive a fixed-term employment contract – either with a tenure track agreement⁸ or to assess suitability – and, after a positive final assessment, receive a permanent employment contract.

Promotion: The promotion process may be initiated by both the staff member, his or her supervisor and the director of the institute (or the MT). Following internal consultations, advice and assessment, the director of the institute determines whether the promotion fits in with the Faculty's staffing policy and the institute's strategic staffing plan before initiating the formal promotion procedure. Part of the assessment includes making an assessment against the promotion requirements applicable to the position (UvA framework and the revised supplementary faculty criteria) and the UFO criteria. Based on a written assessment, it is ultimately up to the director of the institute to submit a promotion proposal, on which the director of Personnel and Administrative Affairs subsequently makes a decision. A promotion only takes effect on the first day of the month following the date of the promotion proposal from the director of the institute (see Appendices 2 and 3 for a schematic overview of the promotion process for assistant professor and associate professor). A staff member who receives a promotion, is graded into the next-highest amount on the salary scale corresponding to the position/level. The points below should be included in the preliminary phase of a promotion proposal.

3.a The importance of annual consultations

In line with a good career development policy, an annual consultation (performance review) is held with every staff member and the annual consultation report is retained in his or her personnel file. An employee's wish to take the next step in their career involves a preliminary phase, in which the employee and the supervisor discuss the employee's wish and the possibilities. The reports of the annual consultations should therefore contain a prelude to the promotion proposal, as well as the relevant developments in that area. In principle, if no annual consultations have been held and documented in the years prior to the promotion proposal, the proposal will not be processed by the director of Personnel and Administrative Affairs.

3.b Role of the employee

The Faculty's career development policy is based on the principle that staff should take responsibility for managing their own career and will undertake the necessary activities for that purpose. This therefore implies that staff should take the initiative for the next step in their career

⁸ See the Faculty of Science tenure track policy (2016).

in line with their own ambitions. The first step is to draw up a realistic development plan⁹ and discuss it – preferably during the annual consultation – with their supervisor. The supervisor submits the staff member's development plan to the director of the institute at an early stage to determine whether it fits in with the institute's strategic plan. After obtaining consent from the director, the staff member is responsible for implementing the development plan, building a portfolio and determining at what moment he or she will meet the applicable criteria. A request may subsequently be submitted to the director of the institute to initiate the promotion procedure. The staff member is responsible for delivering a readily comprehensible portfolio that will serve as the basis for the assessment.

If, in the opinion of the director of the institute, a promotion is not appropriate, this will be communicated to the staff member substantiated with arguments. If the staff member disagrees with the substantiation, the staff member has the possibility - after consulting the director of the institute - to submit the matter to the director of Personnel and Administrative Affairs.

3.c Role of the supervisor

The supervisor plays an important role in the preliminary process, particularly as a coach/counsellor to the staff member. The next career step is a topic that will usually first be discussed during the annual consultation.¹⁰ The supervisor and the staff member will jointly discuss - taking the applicable appointment and promotion criteria into account - how realistic a promotion is in due course and in which areas further development is required and what the staff member needs to do. The supervisor verifies with the director of the institute in advance whether a promotion is possible in light of the strategic plan. The supervisor coaches and facilitates the staff member's development aimed at meeting the criteria applicable to the promotion. It is up to the staff member to determine at what moment to request the director of the institute to initiate the promotion procedure.

In the further procedure, the supervisor will make an important contribution to the assessment as an 'information provider', for example, by drawing up a draft assessment, or as a member of the assessment committee. It should be noted that neither the supervisor nor the director of the institute have the authority to make any commitments about the promotion (or another decision relating to legal status). Such authority lies solely with the director of Personnel and Administrative Affairs (as the mandate holder for Personnel Affairs). Unauthorised commitments raise expectations that may not be fulfilled in the future.

3.d Assigned tasks and UFO classification

To be eligible for promotion, the candidate must have demonstrated for some time that he or she meets the appointment and selection criteria applicable to the intended profile/promotion level. This conflicts somewhat with the UFO system, which is based on the principle that the actual responsibilities assigned determine the classification of a job profile/level. It is therefore advisable to assign the responsibilities of a higher job profile/level to the staff member only when a promotion in due course is realistic. These heavier responsibilities are deemed to be temporarily assigned and form part of the staff member's development plan. Needless to say, these matters should be discussed with the staff member during the annual consultation and the agreements made recorded in the annual consultation report.

⁹ What do I want to achieve, when, and how do I get there?

¹⁰ Both the staff member and the supervisor may raise this topic for discussion, see also 3.b.

3.e Assessment committee (BOAC)

An assessment advisement report is always required for a promotion from assistant professor to associate professor as well as a written assessment drawn up by the director of the institute (the formal assessor). In view of the level of responsibility of the associate professor 1 position, an assessment committee should preferably also be requested to draw up an assessment advisement report for a promotion from associate professor 2 to associate professor 1. If no committee is involved, the director of the institute will self-evidently include an assessment against the applicable UFO criteria and the faculty appointment and promotion criteria for the associate professor 1 level in the assessment, with a view to evaluating the achievements in teaching, research and organisation in a balanced manner. It is not necessary (but the option of course exists) to involve a committee in a promotion to a higher level within the assistant professor UFO profile (from assistant professor 2 to assistant professor 1). A written assessment drawn up by the director of the institute will suffice. The tenure track committee¹¹ is charged with drawing up the assessment advisement report for all the assessments of academic staff either with a tenure track agreement, or a career development agreement comparable to a tenure track, during the track. The director of the institute always is the formal assessor even if there is an assessment committee. The staff member will be given the opportunity to inspect the final assessment advisement report issued by the committee and the report will be added to the personnel file.

3.e.1 Composition of the assessment committee

In principle, each institute has at least one standing assessment committee on academic staff promotions. The composition of an assessment committee must comply with the faculty guidelines (see Appendix 1). The level of the committee must match the level of the assessment. The composition of the committee should also be balanced and diverse, with sufficient available knowledge and experience of education¹² as well as insight into the discipline. At least two of the five committee members are required to have taken the bias training offered by the Faculty.

3.e.1 Procedure of the assessment committee

The committee largely independently determines in what way it obtains information to formulate an advisory assessment. The assessment committee is at liberty to invite the candidate for an interview or to hold a presentation, or to use the 360⁰ feedback tool. The committee works in a transparent and careful manner, and always seeks consent from the staff member for consulting referees or for requesting and obtaining references (including feedback). The committee self-evidently performs an assessment against the UFO criteria applicable to the job profile/level and the faculty appointment and promotion criteria. An important aspect of performing the assessment against the criteria is that the committee strikes the right balance in evaluating the achievements in teaching, research and organisation, by taking both the individual achievements and the contributions to operating in a team (such as a research group/cluster or lecturer team) into consideration. The committee seeks to achieve unanimity and in the unlikely event that the advice is not endorsed by all committee members, the committee will substantiate this in writing.

3.e.3 The advisement report and the assessment

The advisement report is intended for the director of the institute who takes the committee's advice into account when drawing up the formal assessment of the candidate. The advisement report contains a clear, unambiguous conclusion that can be used for the further procedure. This means that the report discusses, among other aspects, the candidate's score for the applicable UFO criteria, the UvA Executive Board framework for appointments and promotions of academic staff and the new, supplementary faculty appointment and promotion criteria for academic staff. As

¹¹ See the Faculty of Science tenure track policy (2016).

¹² For example, a programme director or college or graduate school director.

stated above, the advisement report is intended primarily for the director of the institute. The candidate receives a copy of the final advisement report.¹³

The director of the institute draws up a written assessment within six weeks of receipt of the advisement report and then submits the assessment and the advisement report to the director of Personnel and Administrative Affairs (being the assessment authority) for adoption of the assessment. The assessment becomes final upon adoption. If the assessment drawn up by the director of the institute diverges from the advisement report, the director of the institute will bring this to the attention of the director of Personnel and Administrative Affairs, who will discuss the case with the dean. If the director of the institute issues a positive assessment, promotion takes effect on the first day of the month following the formal promotion proposal. The adopted assessment forms an integral part of the proposal.

NB: The University of Amsterdam assessment regulations apply to assessments and must be carefully followed step by step ([see the UvA Regulations on Working at the University of Amsterdam, 2007](#)).

3.e.4 No positive assessment

In the event that the assessment leads to the conclusion that the candidate does not meet the criteria, no promotion proposal will follow. In consultation with each other, supervisor and staff member will ascertain whether a promotion is possible in due course, and in which areas further development and experience are required, or whether the staff member should adjust their ambitions and how this will affect his or her career aspirations. It is important that the staff member and the supervisor record the results of this discussion in the report of the annual consultation.

¹³ The final version without appendices such as references, email correspondence, etc.

4. Professorial appointments and career development agreement for associate professor 1 to full professor 2

4.a Professorial appointments

The Executive Board decides on professorial appointments. An appointment proposal substantiated by the dean is submitted to the Executive Board. This procedure for professorial appointments applies to both external candidates and to internal promotions within the University of Amsterdam. A meticulous appointments procedure is, after all, essential, irrespective of whether a (known) internal candidate is nominated.

4.b Career development agreement for associate professor 1 to full professor 2

The faculty career development policy offers associate professors 1 with a strong, proven track record and demonstrable ambitions to assume a professorial position the possibility of making a career development agreement to advance to full professor. The career development agreement entails a three to five-year track, in which an associate professor 1 proves that he or she has ‘professorial ability’ and includes an interim evaluation and a final assessment. The aim of the interim evaluation is to ascertain jointly with the candidate, whether the candidate is on track and to give feedback on how the track has proceeded. The candidate's supervisor and an external expert in the relevant discipline conduct the evaluation interview. The aim of the final assessment is to ascertain whether the candidate meets the criteria set out in the career development agreement and has the requisite ‘professorial ability’. In the event of a positive assessment, the associate professor will be nominated for a professorial appointment. A faculty committee, established by the dean, will draw up an assessment advisement report for the purpose of the final assessment (see 4.c). Appendix 4 contains a flow chart of the process involved in the career development agreement for advancing from associate professor 1 to a professorial nomination.

4.b.1 Conclusion of a career development agreement

(The provisions under 3.a, 3.c and 3.d in these regulations also apply to the preliminary phase of a promotion from associate professor to full professor).

If the associate professor 1 aspires to assume the position of full professor in due course, this will usually be discussed with the supervisor in successive annual consultations to ascertain whether the associate professor's ambitions can be implemented in a successful career development agreement to advance to full professor. It must be clear what motivates the associate professor to aspire to the position of full professor, how that role will be fulfilled (teaching, research, organisation) and how this fits in with the institute's strategic plan. The implementation of the provisions in the previous sentence and the intention to enter into a career development agreement will be discussed with the director of the institute at a given moment and also assessed against the institute's strategic plan. If the outcome is positive, the director of the institute will submit notification of the intention to enter into a career development agreement with an associate professor 1 and discuss it with the dean. After the dean has agreed to the intention, the director of the institute will draw up a draft career development agreement¹⁴ in consultation with the

¹⁴ A template for a career development agreement for advancing from associate professor 1 to full professor 1 is available on intranet.

associate professor and the supervisor, for approval and signature by the dean. An interim evaluation and a final assessment will be included in the career development agreement (see 4.b). The career development agreement takes effect after it has been signed by all parties and the track will commence. The associate professor builds up a portfolio throughout the period of the career development agreement, reflecting achievements in the area of teaching, research and organisation. The director of the institute and the associate professor will ensure that the necessary documents for the assessment are submitted to the committee promptly so that it has sufficient time to draw up the final assessment advisement report.

If, in the opinion of the director of the institute, a career development agreement is not appropriate, this will be communicated to the candidate substantiated with arguments. If the candidate disagrees with the substantiation provided, the candidate has the possibility, after consulting the director of the institute, to submit the matter to the director of Personnel and Administrative Affairs.

4.c Faculty advisory committee on professorial nominations

The faculty committee consists of permanent core members supplemented with ad hoc members. The dean composes the faculty committee and appoints the committee members. The committee is independent and operates autonomously within the frameworks of university and faculty policy, and in accordance with the instructions of the dean. The committee's internal deliberations and the drafting of the report are confidential (the final advisement report is not confidential). To prevent a conflict of interest, a committee member will refrain from any involvement in the assessment advisement report if that member has been the candidate's PhD supervisor, or has, or has had a working¹⁵ or private relationship with the candidate. In such cases the dean will appoint a replacement committee member.

4.c.1 Composition of the faculty advisory committee

The permanent core members of the committee consist of three professors, one from each disciplinary cluster. At least one of the professors is female and all three members have taken the bias training course (or a comparable course). The core members are appointed by the dean for a three-year term with the possibility of extension. Depending on the request of the director of the institute to establish a committee of five or seven members, two or three of the permanent core members sit on the faculty committee. For each career development agreement, the dean will appoint three (for a five-member committee) or four (for a seven-member committee) ad hoc members, nominated by the director of the institute. The following applies to a nomination:

- at least one of the members is a professor from outside the Faculty (the external member);
- at least one of the ad hoc members is female;
- at least one of the members is an education expert¹⁶ from the relevant discipline.

In accordance with the Diversity Memorandum UvA (28 May 2019) the faculty advisory committee (permanent core plus ad hoc members) consists at least of two female members. A secretary (without voting rights) will be added to the committee and is responsible for building up the file required for submission of the candidate's professorial nomination to the Executive Board, as well as for providing practical, secretarial assistance to the committee. At the request of the director of the relevant institute, a P&O adviser (without voting rights) may be added to the faculty advisory committee.

¹⁵ A working relationship does not include the relation between daily supervisor and employee.

¹⁶ For example, the vice-dean, the college director, graduate school director, or programme director.

4.c.2 Procedure of the faculty committee

The committee's remit is to draw up an assessment advisement report, based on which it will be ascertained whether, taking into account to the supplementary appointment and promotion criteria and the UFO criteria, the associate professor has proved that he or she has professorial ability. The committee will in any event invite the candidate to an interview or to hold a presentation for this purpose. Given that the advisory committee is autonomous and independent, it will decide on the procedure for compiling the advisement report, as well as on the allocation of tasks among its members. This also means that the committee will initiate a further investigation, if deemed necessary. The committee works in a transparent and careful manner, and always seeks consent from the candidate for consulting referees or for requesting and obtaining references (including feedback). The committee seeks to achieve unanimity on the advice. In the unlikely event that unanimity is not achieved, the committee will substantiate this in writing.

4.c.3 Assessment advisement report

The committee will deliver an assessment advisement report that is intended, in the first instance, for the director of the institute. Based on the advisement report, the director of the institute will draw up a formal assessment and will submit it together with the advisement report to the dean for adoption. If the outcome of the formal assessment issued by the director of the institute diverges from the assessment advisement report issued by the committee, the director of the institute will advance arguments as to why the assessment diverges from the advisement report. The dean will ultimately make a decision on the nomination.

4.c.4 No positive assessment

In the event that the assessment leads to the conclusion that the staff member does not meet the criteria, no nomination will ensue. Supervisor and staff member will jointly ascertain what this means for the latter's career and further ambitions, also in relation to the institute's strategic plan, as well as how to handle the situation that has arisen. It is important that the candidate and the supervisor record the results of this discussion in the report of the annual consultation.

4.d Appointment advisement report for the professorial nomination

Following the dean's decision to nominate the candidate for a professorial appointment, the faculty committee will provide an appointment advisement report. The secretary to the committee will ensure that all the documents required for the nomination are made available.

Appendix 1: Guidelines on the composition of the assessment committee

(with regard to drawing up an assessment advisement report for a proposed assistant professor 1 promotion to associate professor 2)¹⁷.

Composition of the assessment committee

The standing committee consists of five members and is composed as follows:

- two permanent members, at least one of whom is a professor;
- three members on an ad hoc basis or as a permanent member, where
 - one member, based on his or her position or role can express a well-founded opinion on the teaching qualities of the assistant professor;
 - one member preferably is from outside the Faculty and is an expert in the candidate's field;
 - one member also is a member of the assessment committee of another institute;
- at least one committee member is female, but preferably two (or more) are female;
- the two permanent members have taken the Faculty of Science bias training course;
- because the director of the institute is the assessor, the director cannot sit on the committee;
- the director of the institute preferably appoints a secretary who manages and supervises the process, and ensures the advisement report is completed on time;
- the secretary is not a formal member of the committee;
- at the request of the director of the institute, a P&O adviser will be added to the committee.
-

There are a number of advantages to having a committee consisting of permanent core members who are charged with drawing up an assessment advisement report. This includes building and retaining expertise by gaining experience and demonstrating transparency and trust towards the candidate who is undergoing assessment, and towards colleagues at the institute and Faculty.

¹⁷ The dean composes the faculty committee for the promotion of an associate professor to full professor.

Appendix 2: Step-by-step plan for the promotion of assistant professor 2 to assistant professor 1

	Activity	Who?
1	Staff member's career and development ambitions.	sm
2	Discuss with supervisor during annual consultations.	sm + sv
3	Draw up a draft development plan	sm + sv
4	Check with the director of the institute whether the objective of the plan (promotion in due course) fits in with the institute's strategic plan.	sv
5	Go, or no go?	dir.Inst.
5a	In the event of no go, explain this to the staff member stating reasons (include in annual consultation report) ¹⁸ .	dir.Inst.
5b	In the event of go, the process continues.	
6	Implement development plan, build up portfolio and ascertain with supervisor whether criteria have been met.	sm
7	The staff member determines the timing of submission of the promotion request.	sm
8	Submit request to the director of the institute to commence the procedure.	sm
9	Go, or no go?	dir.Inst.
9a	In the event of no go, explain this to the staff member stating reasons (include in annual consultation report) and go back to the development plan ¹⁹ .	dir.Inst.
9b	In the event of go, the process continues.	
10	The staff member submits portfolio for assessment.	sm
11	Weighing against the UFO criteria, the appointment and promotion criteria, and the competences.	sv
12	Draw up draft assessment.	sv
13	Submit draft assessment to the director of the institute.	sv
14	Draw up formal assessment report.	dir.Inst
15	Assessment interview with staff member.	dir.inst.
16	Sign assessment report.	dir.Inst.+ sm
17	If the assessment is negative -> follow-up action(s):	
17a	another chance after improvement programme; or	
17b	no promotion, reconsider career;	sm + sv
18	Submit promotion proposal together with report to mandate holder.	dir.Inst.
19	Adoption of assessment report.	dir.P&AA
20	Implementation of promotion.	HR

sm = staff member, sv = supervisor, dir.Inst. = director of the institute, dir. P&AA = director Personnel & Academic Affairs

¹⁸ Possibility to submit the no go to the director of Personnel and Administrative Affairs, after consulting the director of the institute

¹⁹ See footnote 18

Appendix 3: Step-by-step plan for the promotion of assistant professor 1 to associate professor 2, and associate professor 2 to associate professor 1

	Activity	Who?
1	Staff member's career and development ambitions.	sm
2	Discuss with supervisor during annual consultations.	sm + sv
3	Draw up a draft development plan	sm + sv
4	Check with the director of the institute whether the objective of the plan (promotion in due course) fits in with the institute's strategic plan.	sv
5	Go, or no go?	dir.Inst.
5a	In the event of no go, explain this to the staff member stating reasons (include in annual consultation report) ²⁰ .	dir.Inst.
5b	In the event of go, the process continues.	
6	Implement development plan, build up portfolio and ascertain with supervisor whether the criteria have been met.	sm
7	The staff member decides at what moment he or she wishes to submit the promotion request.	sm
8	Submit request to the director of the institute to commence the procedure.	sm
9	Go, or no go?	dir.Inst.
9a	In the event of no go, explain this to the staff member stating reasons (annual consultation report) and go back to the development plan ²¹ .	dir.Inst.
9b	In the event of go, the process continues.	
10	Approach the assessment committee (BOAC) to draw up an assessment advisement report.	dir.Inst.
11	The staff member submits portfolio for assessment.	sm
12	The committee performs an assessment against the UFO criteria, the appointment and promotion criteria and the competences	BOAC
13	The committee draws up an assessment advisement report.	BOAC
14	Submit assessment advisement report to the director of the institute.	BOAC
15	Draw up formal assessment report.	dir.Inst.
16	Assessment report with advisement report (without enclosures) go to the candidate.	dir.Inst.
17	Assessment interview with staff member.	dir.Inst.
18	Sign assessment report.	dir.Inst.+sm
19	If the assessment is negative -> follow-up action(s):	
19a	another chance after improvement programme; or	
19b	no promotion, reconsider career;	sm + sv
20	Submit promotion proposal together with report and assessment advisement report to mandate holder.	dir.inst.
21	Adoption of assessment report.	dir.P&AA
22	Implementation of promotion.	HR

sm = staff member, sv = supervisor, dir.Inst. = director of the institute, BOAC = Assessment advise committee, dir. P&AA = director Personnel & Academic Affairs

²⁰ Possibility to submit the no go to the director of Personnel and Administrative Affairs, after consulting the director of the institute.

²¹ See footnote 20

Appendix 4: Step-by-step plan for career development agreement for associate professor 1 to professorial nomination

	Activity	Who?
1	Candidate's (associate professor 1) career and development ambitions.	sm
2	Discuss with supervisor during annual consultations.	sm + sv
3	Draw up a motivation letter (personal statement) containing substantiation, reasons and future plans.	sm
4	Discuss motivation and reasons with the director of the institute.	sm
5	Informally discuss the substantiated proposal for the career development agreement with the director.	sv
6	Go / or no go?	dir.Inst.
6a	In the event of no go, explain this to the staff member stating reasons ²² .	dir.Inst.
6b	In the event of go, the process continues.	
7	Informally discuss the proposal with the dean.	dir.Inst.
8	Go / or no go?	dean
8a	In the event of no go, explain this to the candidate stating reasons.	dir.Inst.
8b	In the event of go, the process continues.	
9	Draw up draft career development agreement associate professor 1 -> professor 2 nomination.	dir.Inst.
10	Submit career development agreement to the dean.	dir.Inst.
11	Adoption of career development agreement	dean
12	Implement career development agreement, build up portfolio.	sm
13	Interim evaluation.	sv + extern
14	Implement career development agreement.	sm
15	The candidate applies for final assessment to dir.Inst. and submits portfolio.	sm
16	The dean appoints committee members.	dean
17	The faculty committee performs an assessment against the applicable criteria.	fac.com.
18	The faculty committee draws up an assessment advisement report.	fac.com.
19	The director of the institute draws up the assessment report.	dir.Inst.
20	Assessment report with advisement report (without enclosures) go to the candidate.	dir.Inst.
21	Assessment interview with staff member.	dir.Inst.
22	Sign assessment report.	dir.Inst. + sm
23	If the assessment is negative: the process ends, and a discussion is held with the associate professor about his or her further career.	dir.Inst.
24	Nomination proposal with assessment report and advisement report to the dean.	dir.Inst.
25	Adoption of assessment.	dean
26	The faculty committee draws up advice on the nomination.	fac.com.
27	Submit appointment proposal to the Executive Board.	dean

²² Possibility to submit the no go to the director of Personnel and Administrative Affairs, after consulting the director of the institute.

sm = staff member, sv = supervisor, dir.Inst. = director of the institute, extern = external expert on field, fac.com = faculty committee.