

Criteria for appointment and promotion of  
members of academic staff

# Associate professor (UHD)

Erasmus School of Economics

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## 1. Introduction

The recruitment and career development of its academic staff are among an academic institution's most critical success factors. The availability of an excellent external candidate or the retention of an excellent internal candidate is often the reason to initiate an appointment and/or promotion procedure. By formulating appointment and advancement criteria, Erasmus School of Economics provides a clear HRM policy. The focus of the criteria is on quality and aims to encourage faculty to produce high-quality scholarly research and publications, to provide excellent education and be actively involved in organizational or administrative duties within the department. The criteria specify minimum requirements for considerations and candidates are encouraged to exceed these criteria. At the same time, the criteria are meant to be objective, easy to communicate and unbiased. The criteria for appointment and promotion serve as guidelines and not as hard rules. Just meeting the criteria does not guarantee a successful appointment and/or promotion procedure.

Department directors nominate the candidates for appointment or promotion. The Dean, after consultation with the Vice-Deans (the Management Team) decides about appointments and promotions. As standard procedure, prior to this decision, the Dean will seek the advice of the CBBA (Advisory Council for the Appointments and Promotions). The CBBA will arrive at a recommendation by evaluating the information provided by the nominating department on behalf of the candidate. This advice is shared with the Management Team, who ultimately decides to approve or deny the appointment or promotion. In evaluating the information and formulating its recommendation, the CBBA may depart from the criteria, stating its reasons.

### 1.1 Process

The process for evaluation of a candidate for appointment or promotion is as follows:

1. Nomination by the Department Director<sup>1</sup>;
2. Evaluation by the CBBA, resulting in a recommendation to the Management Team;
3. Decision by the Dean after consultation with the Vice-Deans.

### 1.2 Assessment by the CBBA

The following applies to the assessment by the CBBA:

1. While a number of criteria have been quantified (e.g. publication requirements and teaching skills), some of the criteria are more qualitative in nature. It is the duty and responsibility of the CBBA to assess whether these criteria have been satisfied.
2. If the CBBA believes that the quantitative and qualitative criteria set out in this memorandum have been satisfied, the CBBA recommends that the Management Team appoints or promotes the candidate.
3. The criteria concern three important aspects: (1) research, (2) teaching and (3) administration & collegiality.
4. In addition to the quantitative criteria, the CBBA also considers the candidate's position in the School. The significance of his/her field of study should be in line with the strategic goals of the School. Furthermore, nominations should be supported by the research programme.
5. These requirements are set by the framework of excellence as is required by Erasmus School of Economics. For candidates from Erasmus School of Economics, these criteria

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<sup>1</sup> See appendix II

are in principle fully applicable. For appointment of candidates from other universities, the CBBA might adapt the criteria if necessary.

6. For Tenure Track positions, the extended assessment period due to special circumstances such as maternity leave, post-natal maternity leave, adoption leave, parental leave, long-term illness or caring for a family member, is only applicable to new appointments from 15 February 2016 onward. For male candidates who become father within their tenure track period, an extension to the assessment period of 6 months shall apply for each child born in the assessment period. For female employees, an extension to the assessment period of 18 months for each child born in the assessment period shall apply. This is compliant with the NWO rules for extension of eligibility for Talent Scheme, the period of statutory maternity leave and post-natal maternity leave and the working hours act. The total assessment period, including these extensions, cannot exceed the maximum of ten (10) years. For this reason, the appointment will also run for ten (10) years and can be terminated on reasonable grounds if the criteria for the interim evaluation or the final evaluation have not been met. Postponement of the final evaluation must be requested in writing to the dean.
7. Regarding appointments before 15-02-2016, the CBBA will take personal issues into account and will reasonably advise.

The paragraphs below describe the criteria for appointment or promotion in the various job categories.

Following approval by the Personnel Section of the School Council (dated 02 April 2019, reference 38379) these criteria were adopted by the Dean after consultation with the Vice-Deans on 8 April 2019 (decision 412-1) and will go into effect on 1 May 2019, replacing all previous CBBA criteria for Associate Professor.

## 2. Criteria for appointment as / promotion to Associate Professor (UHD)<sup>2</sup>

The tenure track period is six years, with due observance of the provisions in chapter 1, paragraph 1.2 point 6. A candidate is recommended for promotion to Associate Professor between six months and one year prior to the expiration of the tenure track period.<sup>3</sup> This means that if a negative decision is rendered, the remaining time of the six-year Tenure Track can be used to search for new employment. The following guidelines apply to the decision regarding promotion:

### 2.1 Research:

1. The candidate must satisfy the following requirements:
  - A. a *minimum* of **3 P\*** articles has been accepted for publication in a journal included on the ERIM list during a **maximum period of six years** prior to the request;<sup>4</sup>  
*or*  
a score of at least **8** points during a **maximum period of six years** has been achieved prior to the request, **to be achieved with a minimum of two and a maximum of six articles**, based on the AIS system.<sup>5</sup> At least two of these articles should be in journals in the top 5% of the AIS in their field. The majority of the articles submitted must have been accepted by journals included in the TI or ERIM list of journals.
  - B. Demonstrated research progress and research pipeline during this period, both in quality and quantity.

If these requirements are not met, revision requests by journal editors in round 2 or higher can contribute to a positive research evaluation by the CBBA. Documents such as a letter from an editor positively indicating the likelihood of publication and referee reports of a paper that is in an advanced stage of possible acceptance at a top journal (P\* journal of the ERIM list or journal in the top 5% of the AIS in its field) can be submitted for consideration.

2. The candidate is able to further develop and give new direction to his or her field of study in a fully independent manner.
3. The CBBA assesses the candidate's research of sufficient creativity and importance for the respective promotion compared to the candidate's reference group
4. The candidate has submitted at least one substantive research proposals or obtained one substantive research grant in the past few years (e.g. for a PhD or postdoc position, or an equivalent investment grant). The application must have been written independently, with the candidate as the main applicant.
5. The candidate has an international network relevant to the field of study.

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<sup>2</sup> See Appendix III and IV for the Hay profiles according to the VSNU job classification system.

<sup>3</sup> If, during the final evaluation after a term of five years, the CBBA issues a negative advice with regard to promotion to the position of Associate Professor and granting a permanent appointment, this forms reasonable grounds for early termination of the appointment by the dean. An unsuccessful tenure evaluation after a maximum of five-and-a-half years means that the candidate does not qualify for promotion or a permanent appointment and constitutes reasonable grounds for early termination of the appointment after six years.

<sup>4</sup> with due observance of the provisions in chapter 1 paragraph 1.2 point 6.

<sup>5</sup> with due observance of the provisions of Appendix 1 'Determining the AIS'.

## **2.2 Education**

1. The candidate has a strong teaching record and can demonstrate experience in teaching a variety of courses. The candidate is able to teach classes of all levels and group sizes, and to provide all types of education for groups of students as well as to perform a personal supervisory role for individual students. As a guideline, an average score in the last two to three years of at least 3.75 for teaching performance in the BSc 1+2 and at least 4.0 for teaching performance in the BSc 3 + MSc is considered to be adequate. Furthermore, peer review has taken place every two years, preferably by one of the senior professors of the candidate's research programme.
2. Where possible, the candidate has initiated and developed the set-up, content and didactics for a substantial portion of the curriculum of one of the degree programmes of the school.
3. The candidate uses state-of-the art and varied teaching materials that explicitly place the subject area within its academic and social context.
4. The candidate contributes efficiently and effectively to the smooth running of educational processes.
5. The candidate has obtained or will obtain the University Teaching Qualification (UTQ/BKO) or is granted an exemption.
6. The candidate's command of English is on C1 level and in accordance with BKO to enable him or her to teach well in this language.

## **2.3 Administration & collegiality**

1. The candidate has been actively involved in organisational or administrative duties, such as organising seminars, taking part in educational marketing activities, membership of a participation body, etc.
2. The candidate performs well in the department and actively participates in activities organised by the department as well as beyond the scope of the department.
3. The candidate is a strong adherent of the EUR's standards of integrity.

## Appendix I: Determining the AIS points

The AIS points are determined as follows:

1. A minimum of two and a maximum of six articles are used to determine the points. The total points are the sum of the points per article.
2. The majority of articles must have been published in journals included on the TI or ERIM list of journals.
3. The average four-year AIS is used as the unit of account for determining the journal score.
4. The number of publication points depends on the journal's AIS and number of co-authors.
5. The points (P) per article are determined as follows (by which the S is the AIS and the N the number of co-authors):  
$$P = S \times (1.25) \quad \text{if } N = 0$$
$$P = S \quad \text{if } N = 1$$
$$P = S \times (1 - (N-1) \times 0.10) \quad \text{if } 1 < N \leq 10$$
$$P = 0 \quad \text{if } N > 10$$
6. The S score for a book is set at 1. The S score for a contribution to a book (e.g. a chapter) is set at 0.5. The candidate's contribution must be at least 15 pages in length in order to qualify as a contribution. Only books published by the highly ranked publishers<sup>6</sup> are included in the calculation. A total of no more than 40% of the total score may consist of book contributions.
7. The CBBA is well aware of the deviating AIS in Operations Research and Accounting and will take the special nature of these fields into account in its assessments of nominations of appointment and promotions. For Accounting, at least 5 AIS points are required.

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<sup>6</sup>as defined in the TI fellowship charter [www.tinbergen.nl/wp-content/uploads/2018/04/TI-fellowship-charter-2016-Update-13-april-2018.pdf](http://www.tinbergen.nl/wp-content/uploads/2018/04/TI-fellowship-charter-2016-Update-13-april-2018.pdf), page 11.

## Appendix II: Documents to be provided

### A Documents shared with CBBA members

1. Nomination form
2. Nomination letter, written by the candidate's (intended) supervisor and (1) co-signed by the department director and (2) the programme leaders and the senior professors of the research programme (for promotion to associate professor: all endowed and full professors; for promotion to endowed or full professor: all full professors).
3. Curriculum Vitae of the candidate
4. Progress & Development reports (two most recent versions). This does not apply to external candidates.
5. 2 letters of reference by external, independent reviewers (e.g. not coauthors, (former) students and supervisors) without potential conflict of interest. At least one of the reviewers is affiliated outside The Netherlands. The letters of reference are requested by the department director using a standardised invitation letter.
6. Publication List (can be combined with the Curriculum Vitae), signed by the department director. Publications should be chronologically ordered.
7. Results publication list (AIS points, citation trajectory), provided by Research Office.
8. Two recent papers (since last promotion).
9. Optional: Revise and Resubmit or rejected papers, including referee reports and editor letter
10. Further information describing the development of the nominee and the research pipeline, though this can also be included in the nomination letter.
11. Teaching evaluations of the two most recent years
12. Peer review document, not older than two years (this does not apply to external candidates).
13. Further information (e.g. describing the development of the nominee, organizational activities, research pipeline), this can also be included in the nomination letter.

### B Other documents

The following information will be gathered by the secretary of the CBBA, but will not be sent for review to the CBBA members (to minimize the review load):

1. Declaration of financial feasibility
2. Request of HR for CBBA advice
3. BKO certificate (this does not apply to external candidates coming from non-Dutch universities).



## Appendix III: Hay Profile for Assistant Professor

### Ranking criteria Lecturer/ Assistant Professor (A-E)

Function level	Lecturer/ Assistant Professor (A-E) 1	Lecturer/ Assistant Professor (A-E) 2
<b>Ranking criteria</b>		
<b>Teaching</b>	<p>Teaches course components that have already been developed for the curriculum.</p> <p>Takes care of periodical maintenance of the allotted course components.</p> <p>Draws attention to opportunities for improving the allotted course components.</p>	Teaches course components that have already been developed for the curriculum.
<b>Research</b>	<p>Conducts independent research for the benefit of academic and scientific advancement, society and - where possible - the government and the corporate world.</p> <p>Contributes to obtaining 2nd (indirect) flow of funds and 3rd (contract research) flow of funds.</p> <p>Supervises academic staff with regard to the content of their research.</p>	Conducts research based on a previously defined and approved research proposal for the benefit of academic and scientific advancement, society and - where possible - the government and the corporate world.
<b>Organisation</b>	Chairs working groups, committees or project teams in the department.	Takes part in working groups, committees or project teams in the department.

### Ranking Rules Lecturer/ Assistant Professor (A-E)

Lecturer/ Assistant Professor (A-E) 2 applies if all criteria described for Lecturer/ Assistant Professor (A-E) 2 are met

Lecturer/ Assistant Professor (A-E) 1 applies if the criteria 'Teaching' and 'Research' are met as described for Lecturer/ Assistant Professor (A-E) 1 and the criterion 'Organisation' is met as described for Lecturer/ Assistant Professor (A-E) 1 or 2

Universitair docent 1 applies if the criteria 'Teaching' and 'Research' are met as described for Universitair docent 1 and the criterion 'Organisation' is met as described for Universitair docent 1 or 2

#### Working groups and committees

The working groups and committees referred should always relate to the content of the job description. In other words, this does not concern working groups and committees within the context of employee participation, nor work meetings of the department concerned.

#### Patient care

The 'Patient Care' result area can apply to specific faculties such as medicine, dentistry, veterinary medicine, health sciences etc. A generic result area was chosen entitled 'Patient Care'. Minor differences and the scope of the 'Patient Care' result area have not been examined. In the interest of recognisability, some differentiation was established for the positions of Professor and Senior Lecturer (Associate Professor A-E) vis-à-vis each other and the other job profiles within this result area.

The 'Patient Care' result area does not carry more weight than the other result areas within the relevant job descriptions.

## Appendix IV: Hay Profile for Associate Professor

### Ranking criteria Senior Lecturer/ Associate Professor (A-E)

Function level	Senior Lecturer/ Associate Professor (A-E) 1	Senior Lecturer/ Associate Professor (A-E) 2
<b>Ranking criteria</b>		
<b>Teaching</b>	<p>Initiates and develops the plan, content and teaching for a substantial part of the chair's curriculum.</p> <p>Formulates proposals for improvement with reference to the educational evaluation of course components and implements them.</p>	<p>Develops allocated course components based on established framework, content and teaching.</p> <p>Formulates proposals for improvement with reference to the educational evaluation of the allotted course components.</p>
<b>Research</b>	<p>Co-ordinates and bears responsibility for producing a research programme or bears responsibility for planning and developing a specialist research project spread over several years and that is of benefit to academic and scientific advancement, society and - where possible - the government and the corporate world.</p> <p>Acts as assistant doctoral thesis supervisor for doctoral candidates.</p>	<p>Co-ordinates and bears responsibility for producing cohesive research projects that form an important part of a research programme and that is of benefit to academic and scientific advancement, society and - where possible - the government and the corporate world.</p> <p>Supervises academic staff as regards the content of their research.</p>
<b>Organisation</b>	<p>Manages part of the department or carries out mandated management tasks for the Professor, for example, conducting assessment meetings or drafting the budget for the department.</p>	<p>Performs managerial and/or administrative tasks that go beyond the department, for example managing an educational committee or co-ordinating a course, etc.</p>

### Ranking Rules Senior Lecturer/ Associate Professor (A-E)

Senior Lecturer/ Associate Professor (A-E) 2 applies if all the criteria described for Senior Lecturer/ Associate Professor (A-E) 2 are met

Senior Lecturer/ Associate Professor (A-E) 1 applies if the criteria 'Teaching' and 'Research' are met as described for Senior Lecturer/ Associate Professor (A-E) 1 and if the criterion 'Organisation' is met as described for Senior Lecturer/ Associate Professor (A-E) 1 or 2

#### Working groups and committees

The working groups and committees referred should always relate to the content of the job description. In other words, this does not concern working groups and committees within the context of employee participation, nor work meetings of the department concerned.

#### Patient care

The 'Patient Care' result area can apply to specific faculties such as medicine, dentistry, veterinary medicine, health sciences etc. A generic result area was chosen entitled 'Patient Care'. Minor differences and the scope of the 'Patient Care' result area have not been examined. In the interest of recognisability, some differentiation was established for the positions of Professor and Senior Lecturer (Associate Professor A-E) vis-à-vis each other and the other job profiles within this result area.

The 'Patient Care' result area does not carry more weight than the other result areas within the relevant job descriptions.