

Faculty of Governance and Global Affairs
Guidelines for the Appointment and Promotion of Academic Staff

Adopted by the Faculty Board on 14 May 2019

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List of initials

AS	<i>Ambtelijk secretaris</i> – Official secretary
BAC	<i>BenoemingsAdviesCommissie</i> – Appointment advisory committee
BKO	<i>Basiskwalificatie Onderwijs</i> – University Teaching Qualification
BS	Board secretary
CvB	<i>College van Bestuur</i> – Executive Board
FB	Faculty Board
FGGA	Faculty of Governance and Global Affairs
IB	Institute Board(s)
OBP	<i>Ondersteunend- en beheerspersoneel</i> – Administrative and support staff
SKO	<i>Seniorkwalificatie Onderwijs</i> – Senior Teaching Qualification
UD	<i>Universitair docent</i> – University Lecturer (US: Assistant professor)
UFO	<i>Universitair Functieordeningssysteem</i> – University Job Classification System
UHD	<i>Universitair hoofddocent</i> – Senior University Lecturer (US: Associate professor)
UL	<i>Universiteit Leiden</i> – Leiden University
WD	<i>Wetenschappelijk directeur</i> – Academic Director
WP	<i>Wetenschappelijk personeel</i> – Academic staff

1 Introduction

The Leiden University Guidelines for the Appointment of Academic Staff, which were updated in 2018, form the general framework for the career policy within the University. These Guidelines contain general principles for the recruitment, selection, promotion and appointment of academic staff, and are applicable for all categories of academic staff except PhD candidates. Additionally, the Policy on Professorial Appointments remains in full force.

By their nature, the University Guidelines are generally applicable. The faculties can make additions to these Guidelines and frameworks to increase their information content and to translate their practical application into each faculty's organisational structure. Periodic changes made in the University frameworks will result in corresponding changes in the Faculty document.

The Faculty Guidelines are applicable only if and insofar as they fit within the University Guidelines and policies. The basic principles presented in this document are by their nature also guidelines. In addition, it will always be possible that exceptional cases can occur, which call for carefully tailor-made solutions and special consideration. The purpose of these Guidelines is to facilitate similar treatment and decisions in similar cases, and transparency for both the supervisor and staff members regarding the assessment criteria and the procedures to be followed.

These Guidelines are an instrument in the larger whole of HR policy, career policy and organisational strategy, and their application is subject to the mandating structure of the FGGA.

The Faculty's vision and strategy are still in the process of development. Moreover, the VSNU and other stakeholders are currently aiming to give impetus to changes in 'valuing and rewarding' academics. It may therefore become necessary over time to make additions or alterations to these FGGA Guidelines for the Appointment and Promotion of Academic Staff in response to both these developments.

Although this document does not cover administrative and support staff, the Faculty Board wishes to specifically emphasise that academic staff and administrative and support staff collectively, with all their knowledge and expertise, are the critical success factors in our endeavours for a prominent position in the academic world and in society. It goes without saying that in applying these FGGA Guidelines for the Appointment and Promotion of Academic Staff, we will also look at talent development for administrative and support staff.

2 General explanation

Purpose of the FGGA Guidelines for the Appointment and Promotion of Academic Staff

The FGGA aims to be a good employer for its staff, and a place where ambitions and talents can be developed to their full in a socially safe, positive and inclusive environment.

The purpose of these FGGA Guidelines for the Promotion and Appointment of Academic Staff is to ensure equal treatment of staff in deliberation processes relating to promotions and appointments, in line with good employment practices. The Guidelines are an instrument in the entire process of career policy. They offer an insight into the assessment criteria for each 'job category' and contain a description of the procedures that must be followed.

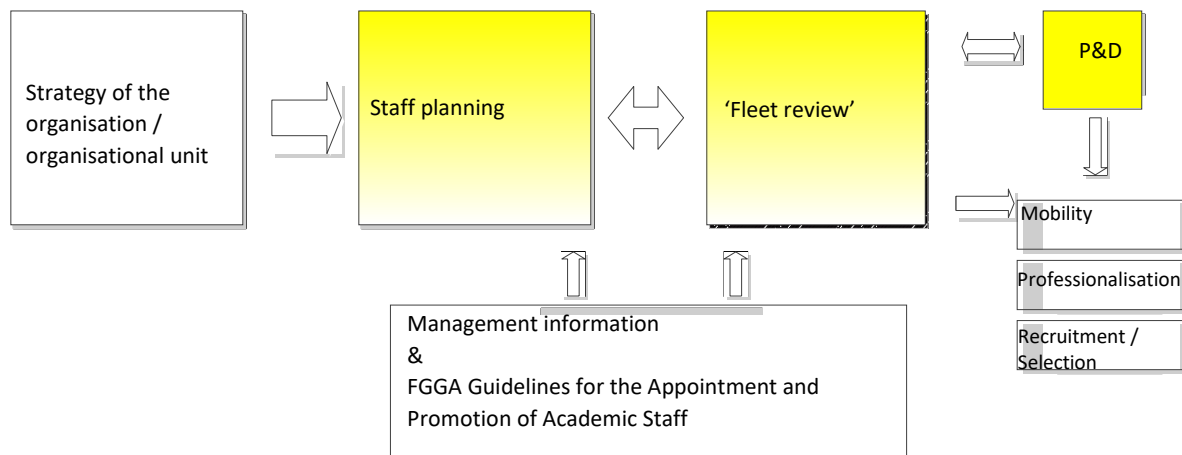
When a potential promotion arises and/or a vacancy is opened, a whole complex of factors always play a role. Briefly summarised, this relates to the combination of what is possible from the substantive, organisational and financial perspectives. Simply the fact that someone satisfies the criteria for the next higher job category therefore does not always mean that an opportunity exists to actually give this person a promotion. This means that careful reflection is required in each individual case, looking not only at the person but also at the level of the unit.

Brief explanation of elements of the career policy

Every year, within the FGGA, each Academic Director, in close consultation with the Institute Board, carries out staff planning and a 'fleet review', to analyse the composition of the academic staff in terms of both quantity and quality, in the light of desired strategic developments. In doing this, the Academic Director consults the supervisors of the staff within the institute. The 'fleet review' is explained in more detail in Appendix 2.

Staff planning gives the opportunity to anticipate future developments, not only in the short term but also in the medium and long term, and hence to work more effectively towards the optimum development and deployment of staff. It gives a clearer view of the progression and outflow of staff, and supports their personal development and career prospects. Producing a multiyear staffing plan gives a more precise idea of possible changes resulting from (natural) wastage, and makes it possible to monitor the ratio between tenured and temporary staff and to give the personal development of staff a more visible place on the agenda. The 'fleet review' can form the basis for promotion proposals or individual development tracks. In the opposite direction, the Performance & Development (P&D) interview cycle serves as a source for the annual fleet review. The interrelations between staff planning, fleet review and P&D interviews are shown in the diagram below.

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In the light of the recommendations for follow-up to the Leiden University Report on the Promotion of Academic Excellence and Talent Policy (the Van den Doel report), the FGGA aims to apply these instruments more effectively and visibly, in a structured and careful manner.

3 Basic principles and assessment criteria

The Leiden University Guidelines on the Appointment of Academic Staff, revised by the Executive Board on 26 June 2018 (see Appendix 1), and the Policy on Professorial Appointments of April 2017 (see Leiden University website) serve as the foundation for the FGGA Guidelines on the Appointment and Promotion of Academic Staff. The general principles of these Leiden University Guidelines are summarised below and provide the framework to which faculties should adhere.

The Leiden University Guidelines also contain specific principles for each 'job category', which are translated into FGGA principles, specific for each job category, and then further elaborated into FGGA assessment criteria.

3.1 General principles of Leiden University

The main outlines of the Leiden University principles are presented below. The complete Guidelines, including a more detailed explanation of each point, are attached to this document as Appendix 1.

1. COMBINATION OF TEACHING AND RESEARCH

Academic staff with tenure engage in both research and teaching. Academic staff who (mainly) engage in just one of these core tasks (researchers / postdocs, teachers [*docenten*]) will usually have a temporary appointment. A faculty must have the Executive Board's consent to offer tenured appointments to staff who are mainly responsible for just one core task (e.g. teachers). If necessary, a faculty can also make a reasoned request for consent for a specific category of staff.

2. PHD AS THE BASIS FOR AN ACADEMIC CAREER

Academic staff members have a PhD. Faculties can diverge from this principle in the case of temporary teachers (*docenten*). Other exceptions will require the Executive Board's permission on an individual basis.

3. COMPETITIVE SELECTION AND EXPERIENCE REQUIREMENTS

The basic principle is that vacancies for academic positions will be filled on the basis of an open recruitment and selection procedure. Vacancies must be advertised at least on the University website and optionally also via other internal and external channels.

Faculties can diverge from this principle in the case of temporary positions for PhD candidates, lecturers and researchers / postdocs. University lecturers must always be appointed on the basis of an open procedure, unless a candidate has been awarded an external personal grant from the Netherlands Organisation for Scientific Research (NWO) or the European Research Council (ERC).

The principle of open recruitment also applies for senior university lecturer and professor positions, with the proviso that:

- open recruitment is not required for appointments that arise from a tenure track appointment or a similar career development agreement, nor in other individual cases where the Executive Board has given prior permission for a 'fast-track procedure' for the appointment of a professor;
- open recruitment is not required in the case of internal promotion of a university lecturer to the position of senior university lecturer.

When an individual is appointed to an academic position, the requirements of the position must be fulfilled (within the framework of the University Job Classification (UFO) profile, University guidelines

and Faculty guidelines). A basic principle for tenured appointment is that experience must also have been gained outside of Leiden University. This can be either academic experience at another university, or practical experience outside the academic world.

4. RECRUITMENT AND SELECTION PROCEDURES

Recruitment and selection are subject to the Leiden University Regulations on Filling of Vacancies.

5. P&D INTERVIEWS

All staff members have a Performance and Development interview at least once a year, in accordance with the Leiden University Regulations on Performance and Development Interviews.

6. TEACHING QUALIFICATIONS

All university staff members with a teaching role must have one or more teaching qualifications.

7. GENDER DIVERSITY

Our aim is to encourage gender diversity up to the highest levels of the University. We therefore always try to ensure that the gender representation within a job group (such as senior lecturers) is a reflection of the job group below (in this case, lecturers). Faculties must take account of this in their recruitment and selection procedures.

8. STAFF PLANNING AND FLEET REVIEW

Faculties conduct an annual review of their staff ('fleet review'), to analyse the composition of their academic staff in terms of both quantity and quality, partly in the light of desired strategic developments. The fleet review will, where necessary, result in promotions (within or outside of the University), development tracks or initiation of proposals for staffing policy. The budget will include a summary of the desired future development in the numbers of jobs, broken down into job categories and types of appointment (tenured / temporary), together with an explanation.

3.2 Basic principles and assessment criteria for each job category

Each job category is described in generally applicable job profiles, drawn up by the Association of Universities in the Netherlands (VSNU). The purpose of these general job descriptions is to establish a job classification system and job weighting (the salary scale). The job profiles give a general framework of tasks that are included within a job. These job profiles can be found on the VSNU website via the link: [link to VSNU job profiles](#).

Every university is then obliged to formulate its own promotion and appointment policy on the basis of these general job descriptions. The Guidelines for the Appointment of Academic Staff adopted by Leiden University (see Appendix 1) offer scope for faculties to elaborate in more detail the basic principles expressed in these Guidelines.

Taken together, these offer the assessment framework of the career policy and provide a framework for decision-making about appointments. In addition to the substantive assessment criteria listed in this document, a decision that is made (or proposed) must always take account of organisational frameworks, such as the administrative agreements, faculty strategy and policy, financial frameworks and, naturally, legislation and regulations.

The assessment criteria per job category presented in this section include the specific job requirements. In addition, staff are assessed on the basis of the related University Job Classification (UFO) competences. A more detailed description of these can also be found on the VSNU website, via the above link to the job profiles.

As yet, the FGGA does not use the option of offering a tenure track, as the Faculty is still too small and is undergoing rapid development.

Leiden University adopted the Guideline on Language Policy on 5 September 2017. One of the provisions of this Guideline is that international staff who have the prospect of a permanent position will start to learn Dutch within six months after being appointed. The aim is that they should have attained a B1 level of Dutch proficiency within two years. Where necessary, the institute or department will provide the resources for improving the Dutch proficiency of these members of staff. This Guideline on Language Policy and any later version thereof is fully applicable within the FGGA.

1. Researchers / postdocs

Leiden University principles (for a more detailed explanation, see Appendix 1):

Researchers without a teaching role or with a small teaching role will usually have a temporary appointment. For specific groups of researchers, (the prospect of) a tenured position is possible, with the Executive Board's consent.

UFO competencies:

Conceptual capacity, environment orientation, presenting and result orientation.

FGGA principles:

A few staff members in the FGGA can be described as researchers. In the case of externally funded research, it is possible to appoint a researcher, provided that the costs are paid within the project.

Assessment criteria:

	Researcher 4 (Scale 10)	Researcher 3 (Scale 11)	Researcher 2 (Scale 12)	Researcher 1 (Scale 13)
General criteria	Completed academic education	<ul style="list-style-type: none"> - Has a PhD - At least 2 years of experience as Researcher 4 	<ul style="list-style-type: none"> - Has a PhD - At least 6 years of attributable experience - At least 2 years of experience as Researcher 3 	<ul style="list-style-type: none"> - Has a PhD - At least 2 years of experience as Researcher 2
Conducting research	Conducts research under supervision, based on a previously defined and approved research proposal	Conducts independent research	Conducts independent research in a broad or specialist field of research	<ul style="list-style-type: none"> - Conducts independent research in a broad or specialist field of research - Supervises academic staff regarding the content of their research
Co-ordinating research		Defines and structures own research	Co-ordinates and bears responsibility for developing cohesive research (sub-)projects that form an important part of a research programme	Co-ordinates and bears responsibility for developing a research programme
Contract research		Contributes to the acquisition of 2nd (indirect) and 3rd (contract) flow of funds for both own research and that of other people	Initiates, obtains and gives account of 2nd (indirect) and 3rd (contract) flow of funds for both own research and that of other people	Initiates, obtains and gives account of 2nd (indirect) and 3rd (contract) flow of funds for both own research and that of other people
Organisation		Is a team player	<ul style="list-style-type: none"> - Takes part in working groups, committees or project teams within the institute or faculty - Is a team player 	Chairs working groups, committees or project teams within the institute; is able to motivate and supervise at more than the detailed level. Provides binding leadership and is a team player

2. Teachers

Teachers (*docenten*) play a crucial role in a strongly education-oriented faculty like the FGGA. They make it possible for students in the bachelor's programmes to have more contact hours and to participate in seminar groups and tutorial groups, etc. Although one of the aims of the new Leiden University Guidelines for the Appointment of Academic Staff is to reduce the number of temporary teachers, the FGGA will continue to partly advocate this category of staff because of the role they play in our education. The University has made agreements with each faculty about the maximum number of teachers in relation to the total number of academic staff. This agreement is the guiding principle within the Faculty.

Leiden University principles (for a more detailed explanation, see Appendix 1):

Teachers have a temporary appointment.

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Faculties will ensure that the number of teacher positions is reduced, in principle to the level stated in the administrative agreements.

For specific groups of teachers, (the prospect of) a tenured position is possible, with the Executive Board's consent; for this, at least the following criteria will have to be fulfilled:

- the teacher has a PhD, and/or
- the teacher has a Basic Teaching Qualification (BKO), and
- the teacher is actively associated – in addition to his/her work at the University – with a practice that has added value for the teaching or has practical experience / skills that are unique, without (currently) being actively associated with a practice.

UFO competencies:

Analytical capacity, environment orientation, presenting and result orientation.

FGGA principles:

In the first year of the bachelor's programmes and in specific situations in the second year, part of the regular curriculum involves the deployment of tutors and teachers. The basic principle is that tutors always work under the supervision of an academic staff member, who bears ultimate responsibility for the course (in terms of content and organisation), the examination and the assessment criteria for examinations.

The FGGA also tries to ensure that its students gain skills in the curricula that are needed for their career after the study programme. Teachers can be used for skills teaching.

Because of the specific role in the education and with a view to continuity and ensuring quality, in highly exceptional cases and on the basis of solid, exhaustive substantiation, the FGGA may wish to consider asking the Executive Board for consent to offer tenure to a teacher. This will always require a tailor-made assessment.

Assessment criteria:

	Teacher 4 Scale 10	Teacher 3 Scale 11	Teacher 2 Scale 12	Teacher 1 Scale 13
General criteria	Completed academic education	<ul style="list-style-type: none"> - Has a PhD (the moment that the dissertation has been approved by the reading committee) - At least 2 years of experience as Teacher 4 - Has a teaching qualification (BKO/SKO) 	<ul style="list-style-type: none"> - Has a PhD - At least 6 years of countable experience (including years as a PhD candidate) - At least 2 years of experience as Teacher 3 - Has a teaching qualification (BKO/SKO) 	<ul style="list-style-type: none"> - Has a PhD - At least 2 years of experience as Teacher 2 - Has a teaching qualification (BKO/SKO)

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	Teacher 4 Scale 10	Teacher 3 Scale 11	Teacher 2 Scale 12	Teacher 1 Scale 13
Development of course		<ul style="list-style-type: none"> - Has experience with initiating and independently performing periodic maintenance on allotted course components 	<ul style="list-style-type: none"> - Has further developed allotted course components based on laid down plan, content and teaching 	<ul style="list-style-type: none"> - Is able to independently develop the plan, content and teaching for cohesive course components - Has taken various initiatives to achieve educational improvement in the discipline and has successfully implemented them in the study programme's curricula
Teaching	Gives previously developed normal course components	Has satisfactorily given previously developed normal course components for at least 2 years, as evidenced by evaluations	Provides course components he/she has developed for a wide range of target groups	<ul style="list-style-type: none"> - Provides course components he/she has developed for a wide range of target groups - Is known to be a valued thesis supervisor
Course evaluation		Points out possibilities for improving allotted course components and can convert them into concrete proposals	Writes proposals for improvements following a course evaluation for allotted course components and successfully implements them	Writes proposals for improvements following a course evaluation for cohesive course components of a curriculum and successfully implements them
Organisation		Is a team player	<ul style="list-style-type: none"> - Proactively and independently takes part in working groups, committees or project teams within the institute or faculty - Is a team player 	<ul style="list-style-type: none"> - Chairs working groups, committees or project teams within the institute - Is able to motivate teachers and supervise them at more than the detailed level - Binding leadership and a team player
	Classification as Teacher 4 is only possible if all of the above assessment criteria are fulfilled	Classification as Teacher 3 is only possible if all of the above assessment criteria are fulfilled	Classification as Teacher 2 is only possible if all of the above assessment criteria are fulfilled	Classification as Teacher 1 and tenured appointment are only possible if all of the above assessment criteria are fulfilled

3. University lecturers

Leiden University principles (for a more detailed explanation, see Appendix 1):

Appointment as a university lecturer is usually the start of a long-term academic career. For this reason, vacancies for the position of university lecturer are always filled on the basis of open competition.

The only exception to this policy is made for academics who have been awarded at least a Vidi grant, ERC Starting Grant or a comparable grant.

UFO competencies:

Conceptual capacity, environment orientation, presentation skills and result orientation.

FGGA principles:

The FGGA appoints talented young academics as university lecturers in the hope of retaining them in a long-term academic career. This is not always easy for all specialisations. In some cases, there is strong competition from the job market, which makes it difficult to attract and retain lecturers.

A tenured appointment may be given to a university lecturer who performs well, as evidenced by a P&D report or series of P&D reports, and provided that there is sufficient scope in the staffing plan and sufficient financial scope.

Assessment criteria:

	University Lecturer 2 Scale 11	University Lecturer 1 Scale 12
General criteria	<ul style="list-style-type: none"> - Has a PhD - Has academic creativity and productivity, as evidenced by publications, with a track record that is satisfactory according to the specific norms of the discipline - Is a valued teacher who can show positive teaching evaluations (a score of at least 3) 	<ul style="list-style-type: none"> - Has a PhD - Has at least 3 years of work experience as University Lecturer 2 (and amply fulfils all the criteria formulated for this role) - Has a teaching qualification (BKO/SKO) - Has a series of positive P&D reports
		<p>The candidate must in any case fulfil all of the above general criteria.</p> <p>The candidate must also show excellent performance in at least 2 of the 3 domains.</p> <p>Tailor-made assessment is possible within the domains.</p>
Teaching	Independently teaches course components that have already been developed for the curriculum and can adjust them on the basis of evaluations	<ul style="list-style-type: none"> - Shows evidence of ample educational experience in the various forms (lectures and seminars etc. and supervision of students) - Independently teaches course components that have already been developed for the curriculum and can independently help to develop these components (plan / content / teaching) - Takes care of periodic maintenance of the allotted course components - Draws attention to opportunities for improving the allotted course components
Research	<ul style="list-style-type: none"> - Conducts research within the context of his/her own research group or institute - Has publications in international refereed journals 	<ul style="list-style-type: none"> - Conducts independent research for the academic world, society and – where possible – the government and the corporate world - High-quality publications in national and international journals - Contributes to obtaining 2nd (indirect) and 3rd (contract research) flows of funds - Supervises academic staff with regard to the content of their research
Organisation	<ul style="list-style-type: none"> - Takes part in working groups, committees or project teams within the institute and independently makes a proactive contribution to them - Is a team player 	<ul style="list-style-type: none"> - Chairs working groups, committees or project teams within the institute - Binding leadership and team player
	Classification as University Lecturer 2 is only possible if all of the above assessment criteria are fulfilled	

4. Senior university lecturers

In addition to excellent results in the area of teaching and/or research, senior university lecturers also have considerable experience with management tasks within the University (at the level of study programme, institute or faculty) or within national or international academic organisations.

It is not possible for every staff member to progress within the organisation to a senior university lecturer position, however suitable and good they may be. Limiting conditions here are the scope in the staffing plan and the financial scope.

Leiden University principles (for a more detailed explanation, see Appendix 1):

- a position as a senior lecturer is usually a promotion position for a lecturer;
- senior lecturers are usually recruited internally;
- a promotion with the emphasis on teaching performance (excellent teaching, good research) will take place on the basis of the University criteria (listed in the table below);
- a promotion with the emphasis on research performance (excellent research, good teaching) will take place on the basis of criteria to be established by the faculties, within the Leiden University Guidelines for the Appointment of Academic Staff.

A promotion from university lecturer to senior university lecturer with the emphasis on teaching performance (excellent research, good teaching) will take place on the basis of the University criteria:

- is an excellent teacher;
- plays an important role in curriculum development in terms of content, educational methods and organisation for (important parts of) a study programme (not only within his/her own discipline) and/or in the management of a study programme;
- plays an active role in the area of educational leadership and teaching innovation.

A career by this route within Leiden University is limited to the level of senior university lecturer.

UFO competencies:

Vision, environment orientation, persuasiveness and managing for results.

FGGA principles:

A vacant senior university lecturer position arising from replacement of an existing position will in principle be filled internally, and hence used for internal promotion of a university lecturer to a senior university lecturer position. The following three assessment domains will be used for appointment:

- teaching;
- research;
- management / leadership.

The requirements are an assessment score of at least excellent in the domain of teaching and/or research and a score of at least good in the other domain(s). The criteria for earning capacity are included in the research and/or teaching domains. The criteria for valorisation are included in the management / leadership domain.

When a vacancy for a senior university lecturer position arises from an increase in the number of senior lecturer positions at the institute level, an open recruitment procedure will usually take place, in which both internal and external candidates can apply simultaneously.

The only exception to this policy is made for academics who have been awarded substantial grants from the 2nd or 3rd sources of funding. These academics may be appointed as senior university lecturers without undergoing the open recruitment procedure.

In attracting (and appointing) international staff, explicit reference is made to the Leiden University Guideline on Language Policy, and additional agreements will always have to be made for staff to acquire sufficient knowledge of Dutch to also fulfil management roles and tasks within Leiden University.

If an internal candidate who has a tenured appointment at Leiden University is promoted, then he/she will retain this tenured status. In the case of external candidates, tenured appointment as a senior university lecturer is possible if they show good performance, evidenced by a series of P&D reports, preferably from the past 3 years, and if there is 'structurally' sufficient scope in the staffing plan and sufficient financial scope.

Assessment criteria:

	Senior University Lecturer 2 (Scale 13)	Senior University Lecturer 1 (Scale 14)
General criteria	<ul style="list-style-type: none"> - Has a PhD - Has at least 3 years of experience as University Lecturer 1 (and amply fulfils all the criteria formulated for this) - Has academic creativity and productivity, as evidenced by publications, with a track record that is very good according to the specific norms of the discipline - Is a valued teacher who can show positive teaching evaluations (usually a score of 4 or higher) - Demonstrably has a broad understanding of the discipline of the relevant academic group and of the interrelations with other academic areas - Has international visibility / networks - Has a teaching qualification (BKO/SKO) - Has a series of positive P&D reports, preferably for the past 3 years 	<ul style="list-style-type: none"> - Has a PhD - Has at least 3 years of experience as Senior University Lecturer 2 (and amply fulfils all the criteria formulated for this) - Has a teaching qualification (BKO/SKO) - Has a series of positive P&D reports, preferably for the past 3 years
	<p>The candidate must in any case fulfil all of the above general criteria. The candidate must also show excellent performance in at least 2 of the 3 domains. To offer scope for tailor-made assessment, the various points in each domain do not need to be regarded as cumulative.</p>	
Teaching	<ul style="list-style-type: none"> - Has taken various initiatives to achieve educational improvement in the discipline and has successfully completed these projects and implemented them in the curricula of a study programme - Is able to motivate teachers and university lecturers and supervise them at a higher level than purely detail - Has successfully acquired education grants 	<ul style="list-style-type: none"> - Initiates and develops the plan, content and teaching for a substantial part of the curricula of the chair / institute - Formulates proposals for improvement with reference to the educational evaluation of course components and implements them - Has demonstrably successfully acquired large education grants - Has demonstrably been able to motivate teachers and lecturers and supervise them at more than the detailed level
Research	<ul style="list-style-type: none"> - Has a visible role in national or international academic organisations or journals in the discipline (NWO committees, national or international research projects, staff member of journal) - Is regularly invited to be a speaker by universities in the Netherlands and other countries, or at national or international academic conferences or workshops - Is regularly invited to be a reviewer of research proposals and/or for renowned journals - Has succeeded in acquiring research funding for others (PhD candidates / researchers) from NWO or other organisations and/or has successfully completed the acquisition of projects from 3rd flow of funds or has 	<ul style="list-style-type: none"> - 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 - Acts as assistant doctoral thesis supervisor for PhD candidates - Has succeeded in acquiring prestigious research funding for others (PhD candidates / researchers). At least one of these externally funded research projects has already been successfully completed (PhDs / books / dissertations) - Is able to motivate PhD candidates and supervise them at more than the detailed level - Has several academic publications in renowned academic journals

	<ul style="list-style-type: none"> - submitted applications for them - Has been visibly involved in supervising PhD candidates / PhD fellows insofar as this is possible within the institute and can be effectively organised. Tailor-made assessment is possible in this regard - Distinctive publications in national and international journals 	
Organis- ation/ Leadership	<ul style="list-style-type: none"> - Has ample experience in and makes a substantial contribution to important committees and administrative bodies at various levels of the faculty (e.g. study programme, institute, faculty committees, appointment advisory committees) - Has demonstrated that he/she acts as a team player and has shown an ability to create commitment and engagement within a team - Has publicised research results and expertise for a wider audience via media, social media and/or participation in events - Has disseminated educational insights to a wider audience via outreach activities 	<ul style="list-style-type: none"> - Manages part of the institute or carries out mandated management tasks for the professor - Has demonstrated that he/she acts as a team player and has shown an ability to create commitment and engagement within a team - Shows leadership and makes a substantial contribution to important committees and administrative bodies at various levels of the faculty - Has publicised research results and expertise for a wider audience via media, social media and/or participation in events, as evidenced by e.g. regular appearances in national media as an expert, popular publications of books, bringing academic insights to a wider audience, membership of important advisory boards - Has disseminated educational insights to a wider audience via outreach activities

5. PROFESSORS

The position of professor is the highest academic rank that can be achieved. This position is included in the FGGA career policy, making reference to the Policy on Professorial Appointments, with the obvious reservation that the number of professorial positions within our Faculty is small. It is not possible for every staff member to progress within the organisation to a professorial position, however suitable and good they may be. Limiting conditions here are the scope in the staffing plan and the financial scope.

The appointment and scaling / promotion of professors is the exclusive responsibility of the Executive Board.

Leiden University principles:

- the current Procedural Regulations on Establishing of Chairs and Appointment of Professors (2012) and the Policy on Professorial Appointments (2017) booklet are applicable for the appointment of professors (see website, Policy on Professorial Appointments, April 2017);
- professors are in principle appointed on a temporary basis, for a period of 5 years. A tenured appointment will follow, provided that the professor shows good performance and there is sufficient scope in the staffing plan and sufficient financial scope;
- the requirements and procedure to be followed for the tenured appointment of professors, as applicable within the FGGA, are included in the Appendices.

To be eligible for a tenured appointment, the professor must satisfy a few fairly obvious requirements:

- he/she must have a Basic Teaching Qualification (BKO) (in the case of an appointment for 0.5 FTE or more);

- he/she must show excellent (or at least good) performance in the domains of research, teaching and organisation, which must be evident from a recent report of a P&D interview, held no more than one year ago. The reports of earlier P&D interviews can also be brought into the assessment, to show development over time;
- finally, the assessment is also based on the desirability report: did it contain a specific instruction for the professor concerned, or were agreements of this kind made for the appointment as professor?

UFO competencies:

Vision, persuasiveness, binding leadership and entrepreneurship.

Assessment criteria

	Professor 2	Professor 1
General criteria	<ul style="list-style-type: none"> - Has a PhD - Has a teaching qualification 	<ul style="list-style-type: none"> - Has a PhD - Has a teaching qualification
Teaching	<ul style="list-style-type: none"> - Is responsible for the quality of the teaching within his/her own professorial chair - Makes strategic proposals and implements the faculty's educational policy within his/her own professorial chair 	<ul style="list-style-type: none"> - Propagates a clear and appealing vision of teaching and educational development, focused on the innovation of the faculty's educational policy within his/her own institute or faculty, or at the university level
Research	<ul style="list-style-type: none"> - Translates developments in the research field into national and international research programmes - Authority in his/her own research field, which contributes to the faculty's profile, demonstrated by: <ul style="list-style-type: none"> o academic publications in authoritative academic journals o membership of the editorial board of academic journals o research results in prominent research collaborations o acting as speaker at seminars and international conferences - Has successfully acquired several applications for national and international research funding, which were submitted to NWO or other organisations, and is successful in acquiring projects for his/her research group. At least one of these externally funded research projects has already been successfully completed (PhDs / dissertations / books) - Is a successful supervisor of internal and external PhD candidates, through to the completion of a PhD at Leiden University 	<ul style="list-style-type: none"> - Translates developments in the research field into internationally recognised research programmes. Has him/herself a central position in internationally recognised networks and research programmes - National or international authority on his/her own research field, which contributes to the institution's profile, demonstrated by: <ul style="list-style-type: none"> o academic publications in authoritative academic journals, which are regularly cited by prominent academics o membership of the editorial board of authoritative academic journals o groundbreaking research results in prominent research collaborations o acting as keynote speaker at important national and international conferences where the state of the art in the research field is established
Organisation/ leadership	<ul style="list-style-type: none"> - Manages a professorial chair, research group or institute with < 10 FTE academic staff - Chairs and/or participates in committees or working groups, focusing on the management of the faculty or institution - Has extensive experience with, shows leadership of and makes a substantial contribution to important committees and administrative bodies at various levels of the faculty (e.g.: study programme, research / education institute, faculty education or research committees, appointment committees etc.) - The candidate provides advice to national and 	<ul style="list-style-type: none"> - Manages a professorial chair, department ('capacity group') or institute with ≥10 FTE academic staff - Extensive experience with, shows leadership of and makes a substantial contribution to important committees and administrative bodies at various levels of the faculty (e.g.: study programme, research / education institute, faculty education or research committees, appointment committees etc.) and university steering groups - Chairs national or international committees or working groups and recognised networks of academics, which also contribute to the

	international administrative bodies	institution's profile - The candidate provides advice to national and international administrative bodies - The candidate participates in public debates in his/her field of expertise
	All of the above criteria must be fulfilled	He/she must demonstrate excellent performance on all of the above criteria

Additional conditions of Leiden University when scaling in the position of Professor 1

Scaling as Professor 1 can take place if the person concerned shows excellent performance in the domains of research and teaching, and also shows that he/she has excellent management qualities. The excellence of his/her performance in the domain of teaching and research, and also the quality of the management performance, will be determined on the basis of the mix of the following standards and criteria, taking account of the professor's academic discipline and the size of the academic staff:

- role in the development of the discipline: the individual concerned must have a pioneering role in the discipline concerned, as evidenced by the development of authoritative theories and concepts;
- earning capacity: acquired grants from competitive or private sector (2nd or 3rd) sources of funding, both national and international (NWO, ERC etc.), especially grants for which the academic or scientific quality is a decisive factor;
- number of PhD candidates: the individual concerned serves quite regularly as a PhD supervisor and has demonstrated that he/she can assist PhD candidates to obtain their doctorate within the designated period;
- number and content of publications: excellence, to be determined on the basis of his/her position compared with peers, measured according to standards that apply as the norm in the discipline concerned;
- renown and esteem of the individual concerned, national and international recognition: the individual concerned must occupy a prominent position among his/her peers, as evidenced by (board) memberships of national and international professional associations and/or journal editorial boards;
- invitations to address important symposia (as keynote speaker), or the offer of a (visiting) professorship, possibly in another country;
- fulfilling a central teaching role: exceptional performance, such as developing and initiating new teaching methods and providing excellent teaching;
- substantive management / leadership qualities: the individual concerned is able to motivate the staff within his/her environment to deliver excellent performance and to complete research and other projects within the designated limits of time and resources;
- management impact, transcending the interests of his/her own discipline: the management activities of the individual concerned extend further than the level and interests of his/her own discipline, and he/she also endeavours to actually promote the interests of the faculty or the University respectively (e.g. is capable of becoming a Dean). Management activities in the national and/or international context (boards, committees, NWO [Netherlands Organisation for Scientific Research] visibility).

4 Procedures

This chapter describes the organisation, responsibilities, procedures and steps of an appointment, promotion or conversion of employment to tenured ('indefinite period') appointment.

Selection committee / appointment advisory committee

To assist with a careful and transparent procedure for the recruitment and selection, a selection committee / appointment advisory committee is involved in every position. The members are chosen for each vacancy individually, taking account of the following criteria:

- diversity in membership;
- at least one member comes from outside the group that is immediately concerned;
- depending on the position, the Academic Director (researcher, teacher, lecturer) or the FB (senior university lecturer, professor) decides on the membership of the appointment advisory committee. The FB will naturally choose the members of an appointment advisory committee in close consultation with the relevant Academic Director.

Standing promotion advisory committee (research committee)

When a proposal is made to promote a university lecturer to the position of senior university lecturer, the FGGA has a standing promotion advisory committee to advise the FB. The period of office of the permanent committee members is linked to the period of the appointment as Academic Director. The FB of the FGGA establishes this committee and announces its membership within the FGGA. When choosing the members of this committee, the basic principle is that the committee's composition will be highly diverse and Faculty-wide. The Academic Directors are the permanent members of the committee, together with an official secretary, who is also the member representing the Personnel & Organisation (P&O) department. The committee will be supplemented with at least one external member, who works within the academic field of the prospective senior university lecturer. For each individual dossier, the permanent members of the committee will appoint one person to be the chair, who is not the Academic Director of the institute that submitted the promotion request. The chair will provide advice to the FB on behalf of the committee members.

Decision-making authority of Academic Director

The Academic Director's authority is regulated in the Detailed Mandate Regulations of the FGGA. The Academic Director bears overall responsibility for his/her institute and must therefore make deliberations within the University and Faculty frameworks (e.g. budget, administrative agreements, policy agreements), with the assistance of the Institute Manager and the P&O and Financial and Economic Affairs (FEZ) departments, in accordance with the account management principle. As the chair of the Institute Board, the Academic Director ensures that decisions are taken on the basis of collegial discussion.

The process of mandating entails that the Faculty Board always retains the final responsibility. This means that the Academic Director is responsible for ensuring that proposed decisions comply correctly with the applicable frameworks, agreements and policies. In case of doubt about whether they are desirable or whether they fit within the whole complex of frameworks and guidelines, the Academic Director can consult with the Faculty Board before making a decision. The P&O and FEZ departments will also carry out a check, which will include looking at both the institute's interests and the applicable

frameworks, guidelines etc., and if necessary will advise that a proposed decision should first be discussed with the Faculty Board, even though it falls within an Academic Director's mandate.

Tailor-made deliberations are always possible in a number of cases. For reasons of transparency and due care, exceptional cases must always be carefully substantiated and advice must be explicitly requested from P&O and FEZ, and also from the Faculty Board, if necessary.

- 1) The Academic Director has decision-making authority within the relevant frameworks with regard to organising the staffing structure for academic staff. The frameworks are:
 - a) Leiden University policy, including the University Job Classification (UFO) system specified in the Collective Labour Agreement (CAO) for Dutch Universities;
 - b) FGGA policies, including the administrative agreements concluded with the Executive Board, strategy, budget, Faculty Regulations and Mandate Regulations.
- 2) The Academic Director has decision-making authority within the relevant frameworks (see above) with regard to the recruitment, appointment and promotion of researchers, teachers and university lecturers. Decisions are taken and communicated to the FB after the Academic Director has discussed them with the Institute Manager and the P&O and FEZ departments. On behalf of the FB, P&O and FEZ – each from the perspective of its own focus area – check a proposed decision against the aforesaid frameworks.
- 3) The decision-making authority with regard to the recruitment, appointment and promotion of senior university lecturers lies with the FB. The Academic Director submits a reasoned and substantiated request to the FB, after discussing this with the Institute Board, the Institute Manager and the P&O and FEZ departments (see above). The reasoned and substantiated request contains a description of how the candidate already fulfils the assessment criteria stated in this document and a description of what points for development still remain, and how the proposal fits in with the (strategic) multiyear perspective.
 - a) In the case of a request for recruitment / opening a vacancy, the FB makes a decision and the FB, in consultation with the Academic Director, establishes an appointment advisory committee. After the recruitment process, the FB makes a decision about whether or not to appoint a candidate, taking account of the advice of the appointment advisory committee.
 - b) In the case of a request for promotion of a university lecturer to the position of Senior University Lecturer 2, the standing promotion advisory committee is asked to advise the FB. The FB makes a decision, taking account of the advice of the promotion advisory committee.
 - c) In the case of a request for a promotion of a Senior University Lecturer 2 to the position of Senior University Lecturer 1, the FB makes a decision.
- 4) If the Head of P&O and/or the Head of FEZ observe(s) irreconcilable differences between an institute's wish and the applicable (Faculty) frameworks, rules, guidelines and policies, the case will first be discussed with the members of the FB.

4.1 Procedure for promotion

A supervisor, as the person who conducts the P&D interviews, can submit a proposal to the Academic Director for promotion of a current staff member, or submit a request to the Academic Director to open

a vacancy for starting external recruitment. The Institute Manager can assist the Academic Director in this, from the standpoint of the institute's operational management.

The procedure is as follows.

RESEARCHERS, TEACHERS OR LECTURERS

1. For promotion of a current staff member, the supervisor submits a reasoned recommendation to the Academic Director. The reasoning must cover all the assessment criteria as described in chapter 3.
2. The Academic Director checks the request against the substantive framework, the framework of the staffing plan and the financial framework.
3. P&O and FEZ – each from the perspective of its own focus area – check the proposed decision on behalf of the FB.
4. The Academic Director makes a decision and ensures that the decision is carefully communicated to the relevant parties.
5. P&O arranges the implementation of the decision.

SENIOR LECTURERS

1. For promotion of a university lecturer to the position of senior university lecturer, the supervisor submits a reasoned proposal for recommendation to the Academic Director. The reasoning must cover all the assessment criteria as described in chapter 3.
2. The Academic Director checks the request against the substantive framework, the framework of the staffing plan and the financial framework. P&O and FEZ assist the Academic Director with this.
3. The Academic Director decides whether or not to submit a recommendation for promotion to the FB and discusses this with the supervisor.
4. FB checks the request and submits the proposal to the promotion advisory committee for advice.
5. The promotion advisory committee provides the FB with advice. This advice will state at least which assessment criteria the committee considers the candidate to already fulfil and in which areas the candidate will have to further develop.
6. Whether or not the FB complies with the advice, the FB will produce a written, reasoned decision and will ensure that the decision is carefully communicated to the relevant parties.
7. P&O arranges the implementation of the decision.

PROFESSORS

The Policy on Professorial Appointments is applicable for the appointment and promotion of professors.

This has been translated into the Faculty's step-by-step plan for establishing a chair and (first) appointment of a full professor (via open recruitment).¹

¹ Available on request from P&O, FGGA version 19 October 2018

4.2 Procedure for conversion to tenured appointment

If a member of staff shows good performance and provided that there is sufficient scope in the staffing plan and sufficient financial scope, a supervisor can make a proposal via the Academic Director that this member of staff is given tenured ('indefinite period') appointment.

The procedure is as follows.

RESEARCHERS OR TEACHERS

Researchers without a teaching role or with a small teaching role and teachers are usually not given a tenured appointment.

However, in occasional cases, a researcher or teacher can be given a tenured appointment. This decision can only be made by the Executive Board.

1. The supervisor submits a reasoned proposal for conversion of the appointment to the Academic Director. The reasoning must cover all the assessment criteria as described in chapter 3. Account must also be taken here of the special provisions of the Leiden University Guidelines for the Appointment of Academic Staff (in Appendix 1, sections 3a and 3b).
2. The Academic Director checks the request against the substantive framework, the framework of the staffing plan and the financial framework. When the request relates to a teacher, it is an exceptional request and, bearing this in mind, the Academic Director provides extra substantiation of the proposal, including in relation to the administrative agreements. P&O and FEZ assist the Academic Director with this.
3. The Academic Director submits a request to the FB for a recommendation to the Executive Board for conversion to tenured appointment.
4. The FB makes a written, reasoned decision about whether or not to submit a request for conversion to tenured appointment to the Executive Board. If it decides to submit the request, the Executive Board makes a decision.
5. When a decision has been made, this is communicated to the relevant parties, and the decision is processed by P&O.

UNIVERSITY LECTURERS

1. To convert the appointment of a current staff member, the supervisor submits a substantiated recommendation to the Academic Director.
2. The Academic Director checks the request against the substantive framework and (multiyear) framework of the staffing plan and financial framework.
3. P&O and FEZ – each from the perspective of its own focus area – check the proposed decision on behalf of the FB.
4. The Academic Director makes a decision and ensures that the decision is carefully communicated to the relevant parties.
5. P&O arranges the implementation of the decision.

SENIOR UNIVERSITY LECTURERS

1. To convert the appointment of a current staff member, the supervisor submits a substantiated recommendation to the Academic Director.
2. The Academic Director checks the request against the substantive framework and (multiyear) framework of the staffing plan and financial framework.

3. P&O and FEZ – each from the perspective of its own focus area – check the proposed decision on behalf of the FB.
4. The Academic Director makes a decision and ensures that the decision is carefully communicated to the relevant parties.
5. P&O arranges the implementation of the decision.

PROFESSORS

A professor is initially eligible for a temporary appointment at Leiden University for a period of five years (Executive Board decision 2011). When the end of this period of five years is approaching, a decision is made about whether the professor concerned is eligible for reappointment or tenured appointment at Leiden University.

This decision is based on the reports of the P&D interviews; it is therefore also important that a theme of these interviews themselves is the decision that will have to be made in due course: is the professor 'on the right road' for a tenured appointment? In the unfortunate event that the professor's performance gives cause for criticism, this will have to be discussed in the P&D interviews, and will have to be adequately included in the report. See the previous chapter for the criteria.

Depending on the circumstances, it can be helpful to also ask the professor's colleagues to participate in the procedure, partly with a view to ensuring that the decision to be taken will be supported.

There are two possible situations in which the decision on reappointment can take place. When an 'external' candidate is appointed as a professor, he/she will usually be appointed for a period of five years. In the unfortunate event that the evaluation at the end of that period is negative, then the decision not to reappoint the professor will entail that his/her appointment at the University will also terminate: the employment will not be extended. The situation is different when an 'internal' candidate – i.e. someone who already has an appointment (tenured or otherwise) at Leiden University – is appointed as a professor for a period of five years. If this appointment is not continued, the original appointment is reinstated, for example as a senior university lecturer.

4.3 Procedure for appointment via recruitment

RESEARCHERS, TEACHERS OR UNIVERSITY LECTURERS

1. In the case of recruitment, the Academic Director establishes a selection committee.
2. This committee provides advice to the supervisor and the Academic Director. The reasoning must cover all the assessment criteria.
3. The Academic Director makes a decision, in consultation with the supervisor, and ensures that the decision is carefully communicated to the relevant parties.
4. P&O arranges the implementation of the decision.

SENIOR UNIVERSITY LECTURERS

1. To start a recruitment process for a senior lecturer position, the Academic Director submits a substantiated request to the FB.

2. If the decision is made in favour of a recruitment process, members of an appointment advisory committee are chosen by the FB in consultation with the Academic Director.
3. The appointment advisory committee provides the FB with advice. This advice will state at least which assessment criteria the committee considers the candidate to already fulfil and in which areas the candidate will have to further develop.
4. Whether or not the FB complies with the advice, the FB will produce a written, reasoned decision (if necessary, including any additional agreements about the development steps that a candidate should take) and will ensure that the decision is carefully communicated to the relevant parties.
5. P&O arranges the implementation of the decision.

PROFESSORS

1. The Policy on Professorial Appointments is applicable for the appointment and promotion of professors.
2. This has been translated into the Faculty's step-by-step plan for establishing a chair and (first) appointment of a full professor (via open recruitment).²

² Available on request from P&O, FGGA version 19 October 2018

Appendix 1: Leiden University Guidelines for the Appointment of Academic Staff, 26 June 2018

1. Introduction

The Leiden University Guidelines for the Appointment of Academic Staff have provided the general framework for the University's career policy since 2007. In 2013 a themed meeting about staffing policy was held, attended by all the Faculty Boards and Academic Directors of the institutes. It was discovered that everyone present felt strongly that the University's staffing policy for academic staff needed a 'rethink'. This resulted in the creation of the Career Policy for Academic Staff steering group, which in 2014 issued an advisory report on changes to the University's staffing policy with regard to the recruitment, selection and promotion of academic staff. A second themed meeting revealed that there was broad support for the steering group's recommendations. The steering group's advisory report was discussed in various bodies, including the University Council, after which it was adopted without alteration by the Executive Board. It now forms the basis for these amended Guidelines for Appointment of Academic Staff.

The immediate reason for rethinking the career policy was the need to give the academic staff's performance in teaching and teaching development a more emphatic role in decision-making about careers. A second reason was that in two successive Staff Monitors, teachers (*docenten*) and university lecturers (*universitair docenten*) had rated their career prospects as only moderate. Analysis of the existing practices also revealed that the Guidelines had not been fully elaborated in all areas: criteria for decision-making about careers were sometimes found to be unclear. In some important aspects, discrepancies were found between rules and policy on the one hand and their implementation in practice on the other.

In § 2 of the new Guidelines, a general framework is formulated. Naturally, this general framework can be elaborated in more detail by the individual faculties, although this elaboration must fit within the University-wide framework and must also conform to the University Job Classification (UFO) system specified in the Collective Labour Agreement (CAO) of Dutch Universities. The common thread running through the Guidelines continues to be that, apart from specific exceptions or groups of exceptions, all the tenured academic staff positions (professors, senior university lecturers, university lecturers) must encompass the combination of teaching and research.

In § 3 a number of specific rules are elaborated for each job category. Here too, there is scope for more detailed elaboration by the individual faculties.

§ 4 describes how the Executive Board intends to implement these Guidelines. An important aspect of this will be a periodic inventory of potential talent within the academic staff ('fleet review'). A few faculties, institutes or departments already use a fleet review, but the intention is that this will take place everywhere. The appendix contains an example for the design of a fleet review. Finally, the faculties are asked to indicate in their budget how they will implement the new staffing policy in their staff planning.

These Guidelines are applicable for all job categories of academic staff except PhD candidates, i.e. researchers / postdocs, teachers (*docenten*), university lecturers (*universitair docenten*), senior university lecturers (*universitair hoofddocenten*) and professors (*hoogleraren*).

2. General principles

A. COMBINATION OF TEACHING AND RESEARCH

Academic staff with tenure engage in both research and teaching. Academic staff who (mainly) engage in just one of these core tasks (researchers / postdocs, teachers) will usually have a temporary appointment. A faculty must have the Executive Board's consent to offer tenured appointments to staff who are mainly responsible for just one core task (e.g. teachers). If necessary, a faculty can also make a reasoned request for consent for a specific category of staff.

Explanation

Academic staff members who are responsible for independently providing academic teaching and conducting academic research in a faculty together constitute the tenured academic staff (professors, senior university lecturers, university lecturers). A common characteristic of these positions is that providing academic teaching and conducting academic research are combined. This integration of research and teaching is designated as one of the University's core values in our new strategic plan.

In addition, these staff members also perform tasks in the area of management and/or administration. The actual proportion of time spent on the different core tasks of the University can vary, but the requirement of this combination will remain in effect over the years.

Academic staff members who are mainly responsible for just one of the core tasks, either providing academic teaching (teacher position) or conducting academic research (researcher) will in principle have a temporary appointment. Exceptions to this – for individuals or for a specific group – require the Executive Board's consent.

The rules in the Guidelines have not changed. However, in accordance with the steering group's advisory report, the intention is that the implementation practice will change, as regards staff with an exclusively teaching appointment (teachers). On the one hand, the intention is to reduce the number of these teachers, and on the other hand the appointment criteria have been tightened (see § 3 subsection a below).

B. PHD AS THE BASIS FOR AN ACADEMIC CAREER

Academic staff members have a PhD. Faculties can diverge from this principle to a limited extent in the case of temporary teachers. Other exceptions will require the Executive Board's permission on an individual basis.

Explanation

An individual will not be appointed as a university lecturer, senior university lecturer or professor if they do not have a PhD. In principle, teachers with tenure must also have a PhD. If a faculty wishes to offer tenured appointments to academic staff who do not have a PhD, it must request the Executive Board's consent on an individual basis. It should be noted that this rule has been adopted without alteration from the previous Guidelines. However, making reference to the University's ambition that the role of research in its teaching should be even greater than in the past, the Career Policy for Academic Staff steering group underlined the importance of this rule, and also of its enforcement.

C. COMPETITIVE SELECTION AND EXPERIENCE REQUIREMENTS

The basic principle is that vacancies for academic positions will be filled on the basis of an open recruitment and selection procedure. Vacancies must be advertised at least on the University website and optionally also via other internal and external channels.

Faculties can diverge from this principle in the case of temporary positions for PhD candidates, teachers and researchers / postdocs. University lecturers must always be appointed on the basis of an open procedure, unless a candidate has been awarded a personal grant from the Netherlands Organisation for Scientific Research (NWO) or the European Research Council (ERC).

The principle of open recruitment also applies for senior university lecturer and professor positions, with the proviso that:

- open recruitment is not required for appointments that arise from a tenure track appointment or a similar career development agreement, nor in other individual cases where the Executive Board has given prior permission for a 'fast-track procedure' for the appointment of a professor;
- open recruitment is not required in the case of internal promotion of a university lecturer to the position of senior university lecturer.

When an individual is appointed to an academic position, the requirements of the position must be fulfilled (within the framework of the University Job Classification (UFO) profile, University guidelines and Faculty guidelines). A basic principle for tenured appointment is that experience must also have been gained outside of Leiden University. This can be either academic experience at another university, or practical experience outside the academic world.

Explanation

It is evident from the rankings and other sources that Leiden University's academics give a top quality performance, from Dutch, European and global perspectives.

The new institutional plan 2015-2020 is ambitious with regard to attracting academics: the University aims to continue to attract the best academics to Leiden. Competitive selection is essential for this.

The basic principle of recruitment based on competitive selection was already laid down in the previous Guidelines and also in the Leiden University Regulations on Filling of Vacancies 2014. However, it was observed by the Career Policy for Academic Staff steering group that in practice the recruitment of academic staff is often not based on competitive selection. The steering group advises that the rules regarding (open) recruitment should be enforced more strictly, and the central principle should be that tenured appointment as an academic staff member can only be granted if the candidate has been selected in a procedure of open competition.

The new Guidelines have been formulated in accordance with this principle. The rules for tenured positions (and positions that are usually a step on the way to tenured employment) are now formulated in more binding terms. At the same time, however, the Guidelines offer more scope than the previous version for making certain short-term appointments without an extensive selection procedure. That scope already existed for PhD candidates, and has now also been created for teachers and researchers / postdocs. These categories can – if there is a reason for this – be appointed without competitive selection, for instance in the case of 'peak-time' teachers who need to be deployed quickly or if a vacancy is part of a project with national or EU research funding ('2nd or 3rd source of funding'), for which a suitable candidate is available or has even already been included in the external assessment.

The steering group also proposed that experience as an academic outside of Leiden University in the Netherlands or abroad should become a condition for tenured appointment, because mobility, including international mobility, contributes to an academic's success and is therefore in the interest of both the individual personally and the University. When preparing the new Guidelines, the Executive Board noted that there was broad support for this proposal, but that its implementation in practice involves too many complications to make a hard-and-fast rule on this point. It therefore decided on formulation in the form of a principle, the application of which can be interpreted in more detail at the faculty level.

D. RECRUITMENT AND SELECTION PROCEDURES

Recruitment and selection are subject to the Leiden University Regulations on Filling of Vacancies.

Explanation

The Regulations on Filling of Vacancies stipulate – in addition to the principle of competitive selection discussed under the previous point of these Guidelines – a number of aspects of staffing policy that are also relevant for the appointment of academic staff, such as the procedure for redeployment candidates and career development agreements, the composition of selection advice committees and the target group policy.

E. P&D INTERVIEWS

All staff members have a Performance and Development Interview at least once a year, in accordance with the Leiden University Regulations on Performance and Development Interviews.

Explanation

The annual Performance and Development Interview (P&D Interview) is a review of the performance and development over the past year, and these are recorded in an assessment. Agreements for the forthcoming period are also made and recorded in this interview, concerning both performance and development (in the current position or possibly in a different position). A P&D Interview is a precondition for granting a tenured appointment, a promotion and special remunerations, such as extra periodic salary increments and bonuses. For appointment to a tenured position and promotion to a higher scale / position, it will obviously be essential that the performance assessment fulfils the requirements in all respects (core tasks of teaching and research). In the case of a promotion, the P&D Interview must demonstrate that the individual concerned exceeds the requirements of the current position, before promotion can take place.

F. TEACHING QUALIFICATIONS

All university staff members with a teaching role must have one or more teaching qualifications.

Explanation

PhD candidates and staff members who are starting a teaching role and whose appointment is for less than 1 year and 0.5 FTE are expected to successfully complete a course in basic didactic skills that is tailored to their specific teaching role. They will be asked to complete this course as far as possible before the start of their teaching role.

The (nationally specified³) Basic Teaching Qualification (BKO) is mandatory for all professors, senior university lecturers, university lecturers and teachers whose appointment at Leiden University is for at

³ <http://vsnu.nl/docentkwaliteit.html>

least 1 year and for at least 0.5 FTE. They are required to obtain the Basic Teaching Qualification certificate no more than 2 years after starting their employment, and will only be eligible for a tenured position or promotion to a higher position if they have this certificate.

The Senior Teaching Qualification (SKO) is a qualification for academic staff members who have a role in further development and innovation of teaching at a higher level than their own discipline. At Leiden University, this qualification is only mandatory for individuals who are promoted from university lecturer to senior university lecturer mainly by virtue of excellent teaching performance (see § 3 subsection d).

With the exception of the mandatory Senior Teaching Qualification for university lecturers who are promoted to senior university lecturer by virtue of teaching qualities (see § 3 d), this is also existing policy, which has now been incorporated in the Guidelines.

G. GENDER DIVERSITY

Our aim is to encourage gender diversity up to the highest levels of the University. We therefore always try to ensure that the gender representation within a job group (such as senior university lecturers) is a reflection of the job group below (in this case, university lecturers). Faculties must take account of this in their recruitment and selection procedures.

Explanation

Academic research has shown that experiencing and increasing diversity in teams encourages excellence, academic advancement and innovation. Increasing diversity is therefore a core value of our University. The Executive Board adopted the Diversity Work Plan in September 2014. One of the points in this work plan is to encourage gender diversity at all job levels. Gender diversity in the various job categories is different in each faculty, but it can be said that the number of women in the highest positions is small. The faculties are currently taking new steps on the basis of the work plan. One of the University-wide objectives is to ensure that the male-female ratio within a job group is a reflection of the gender representation in the job group below. Where there is already a proportional ratio of female (master's) students, the standard gender balance guidelines are used (usually a ratio of at least 40% : 60%). One of the methods for achieving this is recruitment of new academic talent via open procedures (see also § 2 subsection c). Other methods for encouraging diversity are scouting of female talent and including a diversity expert in selection committees.

Diversity was not a topic in the previous Guidelines. However, in view of the University's diversity policy, it was obvious that diversity should be included in the Guidelines, especially since the Career Policy for Academic Staff steering group observed that women in university lecturer positions relatively often have a temporary contract, without a good explanation appearing to be evident for this. Faculties are asked to avoid this relative over-representation of women in temporary positions.

H. STAFF PLANNING AND 'FLEET REVIEW'

Faculties conduct an annual review of their staff ('fleet review'), to analyse the composition of their academic staff in terms of both quantity and quality, partly in the light of desired strategic developments.

The fleet review will, where necessary, result in promotions (within or outside of the University), development tracks or the initiation of proposals for personal grants. The budget will include a

summary of the desired future development in the numbers of jobs, broken down into job categories and types of appointment (tenured / temporary), together with an explanation.

Explanation

Academic talent is the heart of the University. Staffing policy is aimed at attracting and developing talent, and ensuring that staff enjoy their work in teaching and research. A fleet review contributes to the careful and well-structured implementation of staffing policy. Some faculties and institutes already conduct an annual fleet review.

The Career Policy for Academic Staff steering group advised that this should take place each year in all the faculties and institutes, and in an identifiable and structured way.

This annual review must involve not only the obvious attention for 'top talent' but also attention for university lecturers, for example, who are regarded by the institute as exceeding the level of university lecturer.

A fleet review is conducted under the responsibility of the Faculty Board, and is intended to provide, in a systematic manner, an overview of:

- the desired development in the composition of the academic staff in terms of quantity and quality at the level of the separate institutes, taking account of – among other things – the financial developments;
- staff who (in the long term) are or could be eligible for a tenured position or promotion;
- potential candidates for a personal grant from the Netherlands Organisation for Scientific Research (NWO) (Innovational Research Incentives Scheme) or from the EU (ERC grant);
- potential candidates for management positions;
- staff who should work on their professional development or improve their performance in order to (continue to) fulfil the (changing) requirements of teaching and research in their discipline.

Another special point for attention here in relation to each of these aspects is gender diversity. The results of the fleet review will be discussed (in broad outlines) once a year between the Executive Board and the Faculty Board.

The Executive Board's budget instructions include a format for the figures that the Faculty should include in the budget.

3. Specific stipulations for each job category

A. TEACHERS

Teachers will usually have a temporary appointment.

Faculties will ensure that the number of teacher positions is reduced, in principle to the 2009 level (= University-wide 14% of the academic staff, excluding postdocs and PhD candidates). For specific groups of teachers, (the prospect of) a tenured position is possible, with the Executive Board's consent; for this, at least the criteria listed in the explanation below will have to be fulfilled.

Explanation

A faculty must request the Executive Board's consent to offer tenured appointment to academic staff who are mainly responsible for just one core task (either teaching or research). If necessary, the faculty can also make a reasoned request for consent for a category of staff, such as teachers. Teachers in this category must fulfil at least the following cumulative criteria:

- the teacher has a PhD⁴ and
- the teacher has a Basic Teaching Qualification, and
- the teacher is actively associated – in addition to his/her work at the University – with a practice that has added value for the teaching.

The criteria can be specified in more detail by the Faculty Board. Establishing the categories of teachers requires the Executive Board's consent. When the vacancy is opened, a determination will be made of whether the teacher position falls within an established category and whether (the prospect of) a tenured position is applicable.

Appointing teachers with a temporary contract is intended to accommodate temporary peaks in the teaching load, especially in the first and second years of the bachelor's phase. It is extremely important to assure the teaching quality. Teachers with a temporary contract are expected to either obtain the Basic Teaching Qualification or (in the case of appointments for less than 0.5 FTE or 1 year) at least to take an initial course in basic didactic skills, as far as possible before the start of their appointment. The previous Guidelines did not have any specific rules for teachers. The appointment criteria are identical to the steering group's proposal.

B. RESEARCHERS / POSTDOCS

Researchers without a teaching role or with a small teaching role will usually have a temporary appointment. For specific groups of researchers, (the prospect of) a tenured position is possible, with the Executive Board's consent.

Explanation

The basic principle is that academic staff who mainly engage in just one task (either teaching or research) will not have tenured appointment. In practice, reasons for an exception will be less likely to occur in the case of research than in the case of teaching. Situations where a tenured position may be considered will especially occur in a few special institutes affiliated with the University (IIAS, ASC, CWTS) and if a researcher is involved with the development of infrastructure or large facilities (Faculty of Science).

The Guidelines are unchanged with regard to researchers / postdocs, apart from small changes in the wording.

C. UNIVERSITY LECTURERS

Appointment as a university lecturer is usually the start of a long-term academic career, with an equal combination of tasks in research and teaching. For this reason, vacancies for the position of university lecturer are always filled on the basis of open competition. The only exception to this policy is made for academics who have been awarded a personal grant from NWO or ERC. These academics may be appointed as university lecturers without undergoing the open recruitment procedure.

Explanation

A method for ensuring that only the best people receive an academic position within Leiden University is the principle that every member of the academic staff will have been selected in a competitive

⁴ However, in specific cases (e.g. for language teachers) it is possible for a teacher to be given tenured appointment without applicability of the PhD requirement. In that case, the teacher will have the education & research support profile 'skills trainer'.

selection procedure at least once during his/her career at Leiden University. The most obvious time to require this is at the beginning of the academic career. The procedure for obtaining a personal grant is extremely competitive. An academic who has successfully applied for such a grant may be appointed to the position of university lecturer without undergoing the open recruitment procedure. In order to justify this appointment, the grant must be at least at the level of a Vidi grant or ERC Starting Grant, or a comparable grant.

D. SENIOR UNIVERSITY LECTURERS

A position as a senior university lecturer is usually a promotion position for a university lecturer. Senior university lecturers are usually recruited internally. A promotion with the emphasis on teaching performance (excellent teaching, good research) will take place on the basis of the University criteria listed below. A promotion with the emphasis on research performance (excellent research, good teaching) will take place on the basis of criteria to be established by the faculties, within the aspects specified in these Guidelines.

Explanation

Promotion of university lecturers to the level of senior university lecturer is possible in two situations. In the first situation, the university lecturer has shown that he/she possesses excellent research quality and (at least) good teaching quality.

A number of aspects that are relevant in assessing the quality of research conducted by potential senior university lecturers are applicable University-wide. These aspects then form a framework for the specific appointment criteria for each faculty. The main aspects are the following:

- coordination of and responsibility for the realisation of his/her own (innovative) research programme;
- excellent record of publications in leading journals or with leading publishing companies;
- involved as co-supervisor with several successful PhD completions;
- international prestige in his/her own discipline, as evidenced by invitations to be a guest lecturer or a (keynote) speaker at international conferences;
- regularly competing for the acquisition of external research grants, resulting in excellent evaluations by peer reviewers or the acquisition of grants.

A second situation in which a university lecturer can be promoted to senior university lecturer occurs if the university lecturer has shown that he/she has excellent teaching skills in combination with (at least) good research qualities. A university lecturer can be said to display excellent teaching performance if he/she:

- gives excellent teaching him/herself;
- plays an important role in curriculum development in terms of content, educational methods and organisation for (important parts of) a study programme (not only within his/her own discipline) and/or in the management of a study programme;
- plays a role in the area of educational leadership and teaching innovation.

This therefore also opens the possibility, in addition to the existing practice (promotion on the basis of the combination of excellent research and good / excellent teaching), of promotion to senior university lecturer on the basis of the combination of excellent teaching and good research. It has been decided to restrict this career step to the level of senior university lecturer. For promotion to or appointment as professor, excellent research performance – in addition to good or excellent teaching performance –

will continue to be of decisive importance. A university lecturer who is promoted to senior university lecturer by virtue of excellent teaching skills must have the Senior Teaching Qualification (see § 2 subsection f).

The previous Guidelines did not have any specific rules for senior university lecturers. The appointment criteria are identical to the Career Policy for Academic Staff steering group's proposal.

E. TENURE TRACK

Tenure track can be used in some faculties as an instrument for attracting, developing and retaining talented academics. The final point of a tenure track is a professorial position. Opening of tenure track positions must take place on the basis of structured staff planning and within the legal status frameworks. The performance and development of individuals in a track will be regularly evaluated on the basis of pre-formulated criteria. The opinion of external referees will also be included in the final evaluation.

Explanation

Leiden University's policy with regard to tenure track has three basic principles:

- tenure track is aimed at top academics;
- entry is a temporary appointment of (maximum) 7 years, with the prospect of a tenured position (as senior university lecturer) if pre-formulated criteria are fulfilled;
- prospect of a position as professor.

The Guidelines have deliberately been formulated quite generally on this point, so that the faculties can formulate their own interpretation, taking account of their own specific context. A tenure track has a maximum period of 7 years. The track will be organised and made feasible within 6 years and will be carefully monitored. As a result, it will be possible to grant tenured appointment after 6 years in regular cases. If leave has been taken or other special circumstances have occurred, and it is expected that the track can be concluded successfully, the 7th year can be used. If it becomes evident from the dossier after 6 years, or earlier, that the track cannot lead to tenure, the employment contract can be prematurely terminated, with statement of the reasons.

Tenure track policy has had different interpretations in different places. The Faculty of Science has had a detailed and proven tenure track policy for many years. Some other faculties work with tenure track positions on an occasional basis. It is up to the faculties to decide the extent to which it is desirable to increase the number of tenure track positions, within the general framework of these Guidelines.

The previous version of the Guidelines did not contain any text concerning tenure track. That policy was established at a later date. The text of the Guidelines is identical to that established policy.

F. PROFESSORS

The Procedural Regulations on Establishing of Chairs and Appointment of Professors (2012) and the Policy on Professorial Appointments (2017) booklet are applicable for the appointment of professors.⁵

Explanation

⁵ See: <https://www.medewerkers.universiteitleid.nl/po/personneelsbeleid-en-gedragcodes/hr-beleid/hoglerarenbeleid>

The chairs at Leiden University are classified under the position of Professor 2. When new professors are appointed, they are usually scaled as Professor 2. For the general description of the duties for the position of Professor 2, see the relevant job title in the University Job Classification (UFO) material, the assigned core activities and the classification criteria.

The Policy on Professorial Appointments stipulates that positions are filled on the basis of open recruitment, unless agreements have been made with an individual in the context of tenure track. Recruitment will take place as far as possible in open competition.

This will be implemented by means of simultaneous internal and external recruitment, usually both national and international. The Executive Board can occasionally give permission to diverge from the principle of open recruitment. The reasons for this can be both the characteristics of the specific job market and specific reasons relating to the staffing policy.

The policy in terms of specific points for appointment and promotion of professors is set down in the Policy on Professorial Appointments booklet.

4. Implementation and transitional measures

The implementation of these Guidelines needs a careful approach. The requirements stipulated in these Guidelines are applicable for employment contracts and agreements that are established after the adoption of these Guidelines.

Existing contracts must be respected.

These Guidelines were discussed in the Governing Council meeting of 17 June 2015. After advice had been obtained from the University Council, the Guidelines were definitively adopted by the Executive Board as executive instructions to the faculties on 1 September 2015.⁶

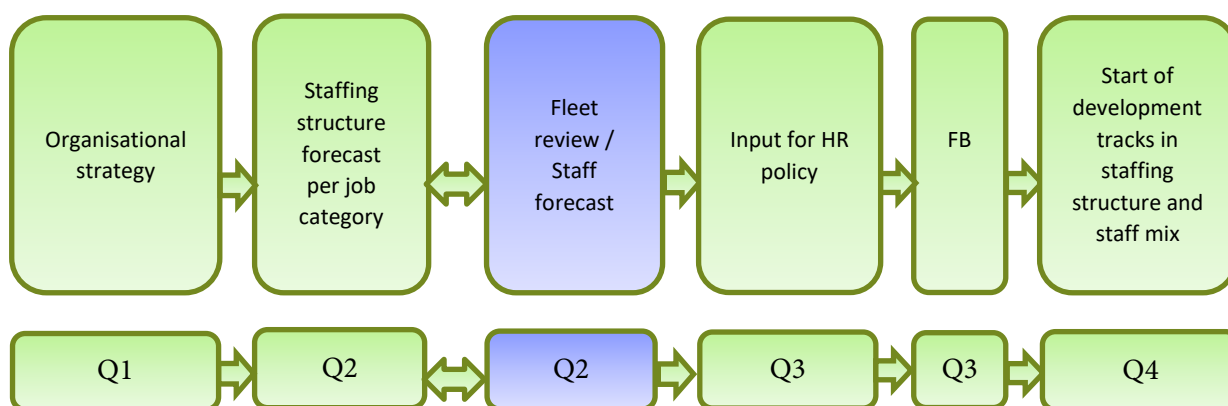
⁶ Revised by the Executive Board on 26 June 2018 (Articles 2c and 3c)

Appendix 2: Explanation of FGGA HRM ‘fleet review’

Purpose and procedure of fleet reviews within FGGA

Every year, each institute conducts a ‘fleet review’: a discussion between the members of the Institute Board, the Dean, the Director of Operational Management and P&O about the expected / desired staff developments in relation to strategic, organisational and personal developments and the institute’s budget cycle. The fleet review discussion is future-oriented and offers a framework for the career policy.

The diagram below shows the position of the fleet review as a management instrument within FGGA, with the related annual planning cycle.



The fleet review discussion is exploratory in character, and no decisions are made. It provides the Institute Boards and the Faculty Board with the basis on which to construct the annual staffing budget. Decisions such as promotions are always made individually on the basis of the assessment frameworks and procedures described in this document.

During the fleet review, the following points are discussed:

1. the previous fleet review and the actual developments over the past year, and what may need to be adjusted on the basis of these developments;
2. the institute’s vision of the future and strategy, and specifically the five most important developments within and outside of the institute that affect the HR policy to be pursued;
3. an analysis of the five key HR figures that are most noteworthy for the institute;
4. the staffing structure forecast per job category for the next 4 years;
5. the foreseen developments within the academic staff and administrative and support staff.

This will include the following questions:

- What developments in the composition of the staff are desirable in view of the strategy? Is sufficient knowledge and expertise available in all areas?
- Which contracts are going to expire and what are the possible and desired follow-up actions? What decisions need to be made in the coming year about converting employment into tenured appointment?
- What staff developments are expected in the coming years? Do they involve specific points for attention, and are specific actions therefore required?

- For what research grants and/or education grants could applications be submitted on the basis of the external criteria for these (year of obtaining PhD, grants already awarded etc.) and what kind of support might these require?
- What educational and developmental wishes are there, in order to continue to fulfil the – sometimes changing – requirements imposed for research and teaching, or for the job category?
- Are there candidates for specific courses in management and leadership?
- What specific talents are there and how can they perhaps be further utilised and/or developed?

Next steps

The report of the institute's fleet review serves as input for the fleet review at the Faculty level, where the Academic Directors discuss the most important developments with the Faculty Board. The Faculty Board ensures that the staffing policy in all of the individual institutes is in line, and is assisted in this by the Head of P&O and the P&O advisers.

The frameworks of the fleet review at the Faculty level are discussed by the Faculty Board with the Executive Board.