

## Promotion Profile and Procedure for Professor 1

*Effective as of: 1 August 2021*

The Professor 1 (P1) is a role model and figurehead for Utrecht University and is recognised and acknowledged as such by others, as evidenced by positions, appointments and roles. The P1 has been a professor for quite some time and **meets all the criteria for Professor 1 and 2** according to the University Job Classification System (UFO) and the WP-FLOW scheme.

Promotion to P1 is **not an automatic career step** for every professor, even if the professor receives excellent performance reviews and/or is accepted to a managerial role.<sup>1</sup>

Assessment by the Executive Board is done on the basis of long-term,<sup>2</sup> above-average performance<sup>3</sup> (proven track record) and demonstrated vision – both of these in the areas of Team Spirit, Leadership, Education, Research, Impact and Professional Performance (including patient care), in line with the **Utrecht TRIPLE model**.<sup>4</sup> Emphases are possible within the profile – see the information on p. 3 under 'narrative'. Cooperation with others (team spirit) is the starting point and guiding principle for all areas.

### Team spirit

The university expects all employees to show team spirit. It is the job of managers to draw on their teams' talents effectively and to foster cooperation and diversity in career paths. Team spirit is therefore a prerequisite for each and every P1. The P1 serves as an important role model, being an enthusiastic leader who enables demonstrably excellent team performance in education and research as well as impact by making optimum use of staff's talents and encouraging diversity within the team. The P1 makes a selfless contribution to the university as a whole, including beyond their own field of expertise, thereby helping to shape the UU community.

### Leadership

The P1 is a paragon of *academic leadership*<sup>5</sup>: they are a role model and figurehead for Utrecht University and are recognised and acknowledged as such by others, as evidenced by positions, appointments and roles. To an extent greater than the P2, the P1 has a clear and shared vision of their own field of study that dovetails neatly with the UU strategy. The P1 has delivered demonstrable performance, including in a team setting, within and beyond their own field of study and contributes to the collective interests of Utrecht University.

As a *manager*, the P1 has an open mind and a development-oriented attitude. The P1 is also able to lead a group in a development-oriented way and in that regard receives positive feedback from staff members on the competences enshrined in the UU leadership profile. The P1 ensures an open, safe atmosphere within the groups in which they are working. The P1 has demonstrated their ability to manage other leaders and ensure diversity in teams, healthy succession and mobility.

The P1 bears responsibility for and is trusted in carrying out *managerial roles*, including for Utrecht University as a whole and beyond. For example, this could be by leading national or international committees or programmes in one or more fields, thereby also positioning Utrecht University. The P1 is capable of demonstrating where this will effect change. The P1 is demonstrably trustworthy and authoritative when it comes to carrying out their managerial duties within the international university community and is a leader when it comes to impact creation in the broadest sense.

### Education

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<sup>1</sup> To provide some indication, about 15 to 20% of all professors will at some point move up to P1 level.

<sup>2</sup> Long-term means for at least several years.

<sup>3</sup> Above-average means exceeding the usual standard in the relevant field.

<sup>4</sup> The TRIPLE model forms part of Utrecht University's vision of Recognition and Reward. An explanation of each area can be found in Appendix 1.

<sup>5</sup> The UU leadership profile is tripartite, comprising personal, organisational and strategic leadership levels. A prominent aspect thereof is the importance of reflection, open communication, a development-oriented attitude, appreciation of team achievements and the desire to contribute to the bigger picture. See Appendix 2 for an explanation of the profile.

The P1 is a nationally and internationally recognised authority, team player and role model with a proven track record (long-term performance and impact, including in a team setting) in education. To an extent greater than the P2, the P1 is able to inspire others and bring about change on a large scale. The P1 is a figurehead for Utrecht University at prominent national and international meetings and in prestigious educational programmes. The P1 has an impact not only on student learning but also on the competence of a large group of fellow teaching staff, not limited to Utrecht University. This is evident from roles, functions and results.

### Research

The P1 is a nationally and internationally recognised authority, team player and role model with a proven track record (long-term performance and impact, including teamwork) in research. To an extent greater than the P2, the P1 is able to inspire others and create impact on a large scale. This also includes training, guiding and inspiring the next generation of scholars. The P1 has devoted themselves to research innovation for a long time and on a large scale, including markedly in a team setting. This is evident from roles, functions and results. The P1 is a figurehead for Utrecht University in international prestigious research programmes and at leading conferences, and their scholarly publications (open access whenever possible) are used and held in esteem by leading colleagues.

### Impact

According to the TRIPLE model, impact is about the way we work.<sup>6</sup> It is an essential part of Utrecht University's open strategy and underlines our aim to improve the world together. The P1 has an above-average proven track record: long-term outstanding performance and impact, including in a team setting. The high relevance and visibility of their own teaching and research for science, society, government and business make the P1 a figurehead for Utrecht University, both within academia and beyond. The P1 uses their own position to actively promote Open Science. The P1 maintains an extensive network with key players within academia and beyond. This gives the P1 a key position when it comes to fostering the exchange of experience and ideas between science and society – a position that the P1 frequently utilises, including for the collective benefit of Utrecht University.

### Professional performance

The Professional Performance domain encompasses duties and roles that fall outside research and teaching, but which nevertheless have a strong connection to the academic discipline, e.g. patient care or similar roles in professions within other fields.<sup>7</sup> The P1 holds leading positions, such as membership or chairpersonship of national and international advisory boards and committees. Where applicable, the P1 plays a leading role in professions that border their own field of study. It is a strategic choice of the university to have leading academics play these interconnecting roles. The P1 thus bolsters the interplay with education, research and impact and creates unique scientific and societal value.

### The promotion procedure

The dean makes the initial assessment of the promotion request. The request is then assessed by a university promotion committee, which advises the Executive Board.

- If a P2 thinks they might be eligible for promotion to the P1 profile, this will be discussed **with their manager**, e.g. in the Assessment & Development (A&D) meeting. If the manager is not a dean, the request is discussed with the dean.
- The **dean or the Faculty Board** may also, on their own initiative, nominate someone for promotion to P1, e.g. following a strategic development meeting.
- In either situation, the candidate will, upon receiving approval from the dean, formulate a **narrative** and submit it to the dean. More information on this is given below.
- The dean may seek advice on faculty-related decisions from members of the university promotion committee, for instance. Once the dean has approved the narrative, they will write a letter containing a **promotion request** to the Executive Board. The promotion request, like the candidate's narrative, is formulated in line with the TRIPLE model.
- The dean will also suggest one or two reviewers the committee can approach if necessary.

<sup>6,7</sup> See the TRIPLE model in Appendix 1.

- The Executive Board will ask the chair of the university promotion committee to set up a subcommittee. See below for the composition. Each application for promotion will involve at least one member from the same faculty as the candidate. For the method, see below.
- The promotion committee will decide whether an **external expert** should be consulted.
- The promotion committee will compare the candidate's narrative and the dean's letter with the H1 promotion profile above. In that respect, they will also take into account what the norm is in the relevant field of study. The committee will issue a **written advice** to the Executive Board, of no more than two A4 pages.
- The Executive Board will make a **decision**, explain it to the dean and, if the decision is positive, formulate a promotion letter to the candidate.

#### The narrative

- The candidate should write a single, cohesive **narrative** of no more than 2,000 words to reflect on their own merits in the 6 spheres of the TRIPLE model.<sup>8</sup> In doing so, the candidate will use **various forms of evidence**,<sup>9</sup> including self-reflection, a (factual) description and peer evaluation.
- The narrative should show that the candidate excels due to **above-average performance in at least three areas**, including as a minimum Leadership and Education or Leadership and Research. The P1 should also be performing to a high standard in the other areas.
- The candidate does not need to satisfy every aspect of the profile descriptions. It is also possible to cite **other relevant indicators** not included in the profile description.
- The intention is to use '**alternative metrics**' rather than h-index and/or impact factors.
- The candidate should select their **top five publications** which they consider most important and briefly explain the selection, and in particular the personal contribution to each publication, in relation to the academic position's remit.
- The narrative can contain **up to three appendices**: a concise CV (max. four pages), the top five publications list (not an exhaustive list) and an appendix of the candidate's choice (not obligatory).

#### The university promotion committee

Working with a university promotion committee helps generate a common understanding of what a P1 is and does and what their contribution to the university as a whole is. All requests are assessed in the same way.

- Deans periodically nominate two members each to the Executive Board for the university committee.
- Deans periodically make a suggestion for an independent chair.
- The Executive Board appoints the members and chairs for a term of four years.
- The university promotion committee consists of a group of 14 P1s who are, in principle, capable of doing this work (2 per faculty) and a permanent independent chair.
- In addition to the permanent independent chair, the committee has two deputy chairs. The deputy chairs belong to the group of 14 professors. In principle, the chair presides. If the time commitment, potential conflict(s) of interest or other reasons so require, the chair may delegate the chairpersonship to one of the deputies.
- The chair of the promotion committee determines the composition of the subcommittee for each promotion request.
- The subcommittee assessing the request consists of the independent chair and 3 members, selected from the group of 14: 1 member of the faculty from which the request stems, 1 expert from a closely related field (can be from a strategic theme), and 1 member who is not closely related to the field.

The above profile and the new procedure will be evaluated at the end of 2022 and adjusted or made more specific, if necessary.

<sup>8</sup> The TRIPLE model is part of Utrecht University's vision of Recognition and Reward. An explanation of each area can be found in Appendix 1.

<sup>9</sup> For examples and explanations, see Appendix 3.

## Appendix 1: TRIPLE-model

Developing guidelines for recognition and rewards that appreciates the full scope of academic work requires that we are explicit about which domains we distinguish and how these domains are related. To meet this aim, the Utrecht University Recognition and Rewards work group has developed a new model, building on the MERIT model, for describing the domains of academic work: The TRIPLE model.

The TRIPLE model consists of six components: team spirit; research; impact; professional performance; leadership; and education. They describe the three domains where we generate output (research, professional performance and education), the impact they have on science and society, and leadership in academia that actively nurtures an environment in which they can flourish. The 'T' is deliberately put first. It emphasizes that, at Utrecht University, team spirit, characterized by contributing, cooperating and exchanging, is the default approach to working in academia. The order of the other abbreviations is random and mainly based on the construction of a word – TRIPLE – that can easily be remembered and that refers to something threefold (e.g., the three domains where we generate outcomes).

TRIPLE: Team Spirit as the default approach to working in academia



The domains of the TRIPLE model and their interrelation are depicted in the image of the flower (a lotus) below, using the colors of the Recognition and Rewards infographic. Team spirit and leadership form the base of the flower as they support the three core domains where we generate outcomes. Impact is represented by the heart of the flower, connected to education, research and – when applicable – professional performance.

**Team Spirit** or Teamwork, is the default to all work in academia in the TRIPLE model. By putting the T of Team first, we emphasize a strategic way of working within, but also across, the different domains of academic work and supporting domains, where the goals and needs of the team are the point of departure in how we organize and evaluate our work. Team Spirit does not imply that every activity is a joint activity, but it does acknowledge that academic work benefits from an open and collaborative approach and that every individual operates in the context of a broader team where tasks are divided and where we work towards shared goals. It requires effective leadership that provides for a safe, open, constructive, diverse and inclusive academic climate where sharing, contributing and collaborating is the norm.

TRIPLE: Three domains where we generate outcomes: Education, Research and Professional Performance.

The TRIPLE model identifies three domains where we generate out-comes for academia and society. These include the two core domains of academia: Education and Research. The domain of Professional Performance entails the other professional activities in academia that are not captured by education and research such as patient care.

**Education** involves the full spectrum of tasks related to academic teaching, from teaching a class, to individual supervision and to being a member of the board of examiners. The domain of education is inextricably linked to that of research, or as explained by the UU Centre for Academic Teaching: "Academics are stimulated to use a research-informed approach for their teaching: disciplinary knowledge, practical knowledge and scientific knowledge are combined to enhance student learning". Education at the UU has a multidisciplinary approach and connects to the public through community-engaged learning. These lines of action are supported by educational innovation and the professional development of lecturers, secured in an accommodating system of recognition and rewards.

**Research** encompasses the wide range of research activities and out-comes, from desk research to experimental research, fundamental and applied, across all academic disciplines. The Utrecht University's research is centered around four strategic themes: Dynamics of Youth, Institutions for Open Societies, Life Sciences and Pathways to Sustainability that combine and integrate different disciplinary approaches to tackle major societal issues. These Strategic Themes are central to the Utrecht University's ambitions and carefully selected for their Societal Impact.

**Professional performance** describes the tasks and roles besides research and education, that nonetheless have a strong connection to the respective academic discipline. The scope of this domain may differ between faculties. Patient care in the UMC is one of those examples where professional performance is an integral part of the professional academic identity of many researchers, but professional performance is not restricted to the UMC only. Patient care plays a similarly important role for those working at the academic veterinary hospital and by extension many academics play comparable roles in professions closely related to their respective field. The choice to have academics fulfill these connecting roles is a strategic one and the interplay with education, research and impact can create great scientific and societal value.

#### TRIPLE: Impact as the way of working

**Impact** is our way of working. It forms an essential component of the open strategy of the Utrecht University and underscores our goal to improve the world, sustainably, together. Rather than regarding impact merely as the output of the three core domains, the impact narrative illustrates how the goals behind Research, Education and Professional Performance contribute to the exchange of experiences and ideas between science and society. This dynamic interplay between science and society, emphasized in the Utrecht University public engagement plan, aims to raise awareness and can result in targeted actions and activities. It includes (but is not limited to) impact on public policy, scholarly impact (for example peers), social impact (for example in the region and in communities), co-creation with citizens, impact in professional practice, economic impact (for example through entrepreneurship) and pedagogical impact.

#### TRIPLE: Leadership as the facilitator and enabler of our academic work

**Leadership in academia** facilitates and enables academic work and contributes to an open, transparent, inspiring, inclusive and safe environment, in line with the Utrecht University leadership model. Leadership is intertwined with the domains of Research, Education, and Professional Performance and is crucial for stimulating and appreciating their Impact. In essence leadership refers to being a good leader: setting communal goals and addressing problems. These are qualities we seek in those in administrative positions (a head of a department or a vice-dean) managing change, or a PhD supervisor providing guidance and counsel to young academics.

## Appendix 2: UU Leadership Profile UU

At Utrecht University, we value leadership very highly. We believe that effective leadership is a vital factor in creating a safe and inspiring working environment as it boosts employee motivation, helps us achieve our goals, facilitates cross-border collaboration and enables UU to help make the world a better place.

Leadership plays a role in all kinds of issues, both big and small. It's about how various levels within UU communicate with each other. It's about how you give feedback to your colleagues. It's about constructively identifying things that could be done better, taking other people's viewpoints and feelings into account and giving direction.

There are many dimensions to leadership, each of which features its own key competences. Every dimension has its own individual perspective, although they are all applicable to your everyday duties as a supervisor. What makes you a good leader and what is necessary for you to be(come) one? At UU, we define three dimensions of leadership.

### You



- Self-reflection
- Cultivating mutual trust, giving and taking responsibility
- Recognising and nurturing diversity of employees
- Clear communication

### You and your team



- Collaboration (interdisciplinary or otherwise)
- Reinforcing the culture of improvement
- Encouraging development
- Results-oriented

### You and the organisation



- Setting objectives for your own unit and connecting them to UU objectives
- Realising objectives in the UU Strategic Plan
- Taking responsibility for the bigger picture

For more information, see the [intranet page](#) and the [brochure](#) on leadership at the UU.

### Appendix 3: sample evidence

To be considered for promotion to P1, the candidate must write a single cohesive narrative of a maximum of 2,000 words to reflect on their own merits in the 6 spheres of the TRIPLE model (see Appendix 1). In this regard, the candidate can use various forms of evidence, including:

- self-reflection;
- (factual) description; and
- peer evaluation.

Some examples of these forms of evidence are presented below. The examples are intended as guidance for formulating the narrative.

#### *Self-reflection*

Reflect on personal development and future ambitions, describe leadership role, activities and impact in education, research and professional performance; and role of the team; describe vision on leadership and leadership style; reflect on previous performance and output as leader of a team; reflect on effectivity; benchmark against the standards of the field; describe the idea, strategy and goals of research, educational and societal activities; describe contribution to the aims of Utrecht University. Describe the ability to change your own behavior and approach.

#### *(Factual) description*

Teaching material, involvement with teaching innovation tools (e.g. Educate-IT); advanced educational qualification (SKOw); active mentorships, future career and development of supervised (PhD) students and staff; scientific collaborations and publications, impact and collaborations outside own field of research; grants and awards acquired, also by team members; active leadership/role in boards, committees and international networks/ consortia inside and outside academia; editorships; qualifications in academic leadership; agreements with/involvement of stakeholders; construction of productive interactive networks; outcomes/products; certificates of training.

#### *(Peer) evaluation*

Student evaluation; peer assessment of lectures by other lecturers; 360 degrees feedback; written references, also in the context of mentoring, supervision, peer coaching; references from people that have benefited or are benefiting from the (impact) activities; information generated by research assessments.