

# Development and Careers Framework for all Utrecht University staff (FLOW)



Contents	
About this framework .....	4
<b>1. Good employment practices: principles</b> .....	4
<b>2. Development framework</b> .....	5
2.1. Continuous development.....	5
2.2. Team development .....	6
2.3. Time for development.....	6
2.4. Development budget .....	7
2.5. Development opportunities .....	7
2.6. A&D cycle .....	7
<b>3. Career policy framework</b> .....	7
3.1. Job profiles and job grading .....	7
Objections .....	8
3.2. Recognition and Rewards: TRIPLE .....	8
Faculty-level TRIPLE elaborations .....	9
3.3. Diversification and making careers more dynamic .....	10
Diversification .....	10
Making careers more dynamic .....	10
Combined positions.....	11
3.4. Staff planning .....	11
3.5. Promotions and appointments .....	11
<b>4. Additional arrangements for Academic positions</b> .....	12
4.1. Dual teaching and research role.....	12
4.2. Career principle for Assistant Professor 1 and Associate Professor 2 .....	13
4.3. Appointments to the position of Professor .....	13
4.4. Qualification requirements .....	13
Teaching qualifications .....	14
Research qualifications .....	14
Run-up period .....	15
Externally attained qualifications .....	15
Supplementary regulations .....	16
4.5. Agreements on specific positions .....	16
PhD candidate .....	16
Combined teaching and research duties: Junior Assistant Professor .....	17
Teacher .....	18
Researcher .....	19
Specialist in Training (SIO) and Clinician .....	19
<b>5. Appendices</b> .....	19



## About this framework

### ***A solid core with room for various related contexts***

This framework covers the preconditions for the development and careers of all Utrecht University (UU) employees. It forms the foundation for UU's human resources policy, which is based on good employment practices (chapter 1). The name 'FLOW' builds on the precursor to this framework, and is the Dutch acronym for Positions, Careers, Development and Rewards (*Functies, Loopbanen, Ontwikkeling en Waardering*). Adopting a UU-wide framework for development (chapter 2) and careers (chapters 3 and 4) will allow us to provide clarity and ensure a level playing field for all UU employees. The faculties and service departments are free to develop policies that reflect their particular context within this framework. The main points of any elaborations of UU's *career policy* are subject to the approval of the Executive Board.

### ***Work in Progress***

The precursor to this development and career framework (the WP FLOW scheme) exclusively covered employees in academic positions. There was no equivalent scheme for employees in other positions. As UU is committed to equal recognition and rewards for all employees, we are taking steps to ensure that all our staff are treated as a single community, i.e. as university staff, regardless of their position. Accordingly, the current development and careers framework applies to *all* UU employees. As it stands, this means that some aspects have already been detailed for academic positions, but not yet for other positions. In a subsequent stage, we will determine which agreements need to be expanded or added to create a balanced framework for all employees. In 2024, the current framework will be evaluated.

### ***General conditions***

The framework is based on the Collective Labour Agreement for Dutch Universities ([CAO NU](#)), which sets out many of the terms of employment for UU employees. In addition, UU has various internal agreements and [regulations](#). These concern aspects that are either ancillary to the CAO NU or are not covered by the CAO NU; they include this framework.

*This framework was adopted by the Executive Board on 11 July 2023.*

## 1. Good employment practices: principles

UU strives to be an environment where people want to work, where the contributions of all employees are recognised and where there is room for everyone's talent. Building on its Strategic Plan and Vision on Recognition and Rewards, UU has formulated a set of principles for good employment practices.

### **UU principles for good employment practices**

- One single UU community
- Recognising and rewarding everyone's contributions
- Based on collaboration and team spirit
- Leadership at all levels
- Open, safe and inspiring working environment
- Room for diversity
- Room for development
- Room for diverse and dynamic career paths
- Transparency about preconditions and expectations

All employees collectively form **one single UU community**. They work together to achieve the university's mission and goals, as set out in the Strategic Plan. Accordingly, at UU we regard all our employees as employees of the university (university staff), and we avoid use of the academic staff (WP) and support and administrative staff (OBP) categories where possible. We emphasise the importance of *everyone's* contribution and want **everyone to feel their work is recognised and rewarded**, regardless of their position.

UU regards **collaboration and team spirit** as the starting point for all our efforts. This means the roles and duties of each employee must be described, shaped and evaluated in relation to the collective as well as the individual.<sup>1</sup> It also means we must recognise and reward activities of employees that serve our collective interests, such as their participation in decision-making. Team spirit is everyone's responsibility, and is actively encouraged and inspired by **leadership - at all levels of the organisation**.

At UU, we view leadership as an important factor in creating an **open, safe and inspiring working environment**. It helps us to motivate our staff, achieve our goals and collaborate across disciplines and to contribute to a better world as a university. Leadership is not just about leading people. It is also about competences we expect from every employee: giving and taking trust and responsibility, self-reflection and giving room to diversity. We call this personal leadership, which applies to all employees and managers.

As an employer, we want to take good care of our people and invest in the well-being of all our students and employees. This requires a safe social climate. We treat each other with respect. Our actions are aimed at creating an open and inspiring community where everyone can feel at home, with opportunities for all, and **room for diversity** in terms of the way we think, learn, work and develop. Each team has to pay attention to this.

UU regards fostering **development** as a key aspect of being a good employer. It helps us to achieve our organisational goals and ensure that our employees stay employable in a changing professional environment and world. We need to offer **diverse and dynamic careers**.

This means we must offer room for a diverse range of individuals and contexts and provide clarity and transparency about the **preconditions and expectations**. UU employees and managers are open to feedback and change and want to keep developing. The university encourages everyone to develop personal leadership competences and to learn from each other in their work.

## 2. Development framework

Fostering development is one of the key aspects of being a good employer. This chapter establishes the relevant UU-wide agreements.

### 2.1. Continuous development

The university values a development-oriented attitude and encourages and facilitates its employees and teams in this respect wherever possible. In addition to professional knowledge and skills, development also relates to personal competences and leadership. Continuous development contributes to the long-term employability of our employees. Development goals can be small or large, and may focus on either deepening or broadening knowledge and skills. Working on your development may mean working towards a more senior position, but more often involves acquiring broader or more in-depth knowledge and skills at the level of your current position. A vertical career step always requires that tasks at that (higher) level are also available. See further promotion and appointment in [chapter 3](#). Development efforts may be focused on a future position within our outside of UU. Employees make choices appropriate to their career phase and personal

---

<sup>1</sup> This is about the (strategic) goals and needs of the team, faculty or service department and the university as a whole, as well as the development of individual staff members.

circumstances. In addition, everyone is free to stay where they are or to take a step back. See also the section on [diversification and making careers more dynamic](#) in chapter 3.

Employees can work on their development in various ways. One option would be to attend training courses. Employees can take the initiative to attend training courses or education programmes. The UU (i.e. managers) may also oblige employees to take part in training or education programmes if this is necessary in order to perform their current job effectively. In these cases, the costs - like the costs of many UU development opportunities - are borne by the university (see our [development opportunities](#)). The conditions for reimbursement of study costs and/or eligibility for training-related leave are laid down in our [Training and Education Scheme](#). Other forms of development include, *for example*, undertaking a project, initiating or actively participating in relevant development activities (e.g. a conference or lectures), reading literature, a work visit, participation in decision-making, or engaging the services of a coach or mentor. Informal learning in the workplace and learning from colleagues is also an important part of development.

As a rule, employees are personally responsible for their own development (no one else can do it for you). The responsibility of managers lies in helping, encouraging and facilitating employees. They ensure that development is a regular topic of conversation. What goals and wishes does someone have? How do these fit into the set of objectives of the team, department, faculty and university? [HR departments](#) can inform, advise and support managers and employees where needed.

## **2.2. Team development**

Individual development goes hand in hand with team development. Team development is all about shared goals, cooperation, and creating synergy. What are the shared goals and how does everyone contribute to them? Is there enough diversity in a team? This kind of questions are topics of conversation in every team.

Team development also involves learning from each other and creating a safe, inclusive working environment for all. Working together as a team helps ensure better results and a more pleasant work experience. UU offers various [training courses](#) focused on collaboration and/or team development. Managers play a crucial role in team development. They receive support through a wide range of [leadership programmes](#).

## **2.3. Time for development**

The manager and employee make concrete agreements on the amount of time the employee spends on development. What are the needs of the individual, team and organisation? What actions will the employee take? How much time will this take? How will this affect the employee's other activities? By offering time, managers emphasise the importance of development. Employees are then responsible for using this allocated time effectively. How did the employee use this time? How did this benefit them? What are the next steps and what will they involve?

All employees will be granted time to work on their development alongside their regular duties. The amount of time will depend on their development needs. According to the Collective Agreement of Dutch Universities (CAO NU), employees must be allowed a minimum of three days a year to work on their 'sustainable employability'. This explicitly includes employees on temporary contracts. See the [Training and Education Scheme](#) for more information on the costs of and allocated time for education and training.

According to the CAO NU, teachers must be offered development opportunities. Temporary teachers with an employment contract for at least 4 years and at least 0.7 FTE may devote at least 10% of their contractual working hours at UU to their professional development, such as to attain a partial or full university teaching qualification (*Basiskwalificatie Onderwijs*, BKO). All teachers will be allowed time to work on their BKO within the framework of their regular duties. At a minimum, this will include the time needed to attend the necessary training courses. For more information,

see the [UU Regulations on the University Teaching Qualification \(BKO\) and Senior Teaching Qualification \(SKO\)](#).

## **2.4. Development budget**

UU provides development budgets at various organisational levels. For example, university-wide budgets, e.g. at the HR service department, are used to facilitate training programmes at no cost to employees. Budgets are also available at individual faculties and other service departments, and often within departments, sections, schools, institutes or projects. Employees can apply for these funds in consultation with their manager. In most cases, this is not a fixed amount per person, but rather a general budget the employee can draw on in consultation with their manager.

## **2.5. Development opportunities**

UU offers its employees a wide range of development opportunities. A large portion of these courses are free of charge for UU employees or made available for a limited fee paid by their own department. This offering includes online and live training courses, learning pathways, a [project marketplace](#), mentoring, coaching and career advice. UU has developed specific programmes for certain target groups, such as managers or teachers. See the [Development Guide](#) for an overview of all development opportunities. Employees can combine these different elements to create their own development plan.

## **2.6. A&D cycle**

In accordance with the CAO NU, UU has [Regulations governing Assessment and Development \(A&D\) Interviews](#). The A&D interview focuses on the employee's performance in the past period. It also offers managers and employees an opportunity to make agreements on employees' performance and development for the coming period. There is a clear relationship between the objectives of the organisation and the team and individual employees' contribution to these goals. The A&D interview covers the *entire* range of the duties performed by the employee. Employees prepare for the interview by reflecting on their own performance and development in the areas in which they are active and on their contribution to team objectives. Employees are encouraged to obtain feedback from colleagues in advance. To this end, a [feedback form](#) and a [feedback instrument](#) are available, as well as a [360 degree reflection tool](#) for managers.

While interviews are scheduled at least once a year in accordance with the CAO NU, UU encourages employees and managers to discuss job performance and development on a more frequent basis. UU is also working to develop a new approach to assessment and development interviews. The future interview cycle will no longer be focused on a single annual interview, but will instead involve a continuous dialogue between managers and employees. The future A&D cycle will also focus more explicitly on the team perspective.

# **3. Career policy framework**

This chapter outlines a career policy framework for UU employees. Chapter 4 contains additional agreements that apply exclusively to employees in academic positions. Faculties are free to formulate their own career policy within the scope of this framework (chapters 3 and 4); the main points of these faculty-level career policies will be subject to the approval of the Executive Board.

## **3.1. Job profiles and job grading**

UU determines each employee's job profile, job level and salary scale on the basis of the University Job Classification (*Universitair Functie Ordenen*, UFO) system, in accordance with the CAO NU. The UFO system has been elaborated into a national tool that covers all positions available in the university sector. It contains descriptions of all positions and job levels, and describes the relationship between the positions. The UFO system establishes the salary scale for each position.

These salary scales are set out in the CAO NU. A UFO classification tool is accessible to all employees online. See the intranet for more information on [the UFO system](#) and [salaries](#).

In 2021, the principles of the Recognition & Rewards system were incorporated in the UFO job profiles for academic positions.<sup>2</sup> In addition, UU has developed the [TRIPLE model](#): this tool allows users to interpret the UFO profiles from a Recognition and Rewards perspective.

### **Performance agreements**

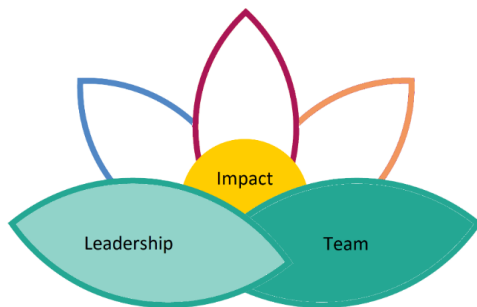
The employee and the manager make individual performance agreements on the performance areas set out in the employee's job profile, which they record during the [A&D interview](#). [Diversification](#) is a key priority. Individual agreements are always made within the broader context of the team and organisation. As a result, individual performance agreements differ between employees, even between employees with the same type of job. Employees regularly discuss the actual work activities they have been assigned.

### **Objections**

Employees who object to their job profile and/or job level classification may submit a motivated written request to reconsider this classification through their manager within four weeks of receiving the relevant decision. If they disagree with the outcome of this reassessment, they may request the Executive Board to have their petition heard by the National Advisory Committee on Job Classifications at Dutch Universities. This national committee refers to the UFO classification tool, based on which it issues a written recommendation to the university on the accuracy of the classification. The Executive Board will then take a decision on the petition. Employees and managers can contact their [HR department](#) if they have any questions.

## **3.2. Recognition and Rewards: TRIPLE**

UU applies the principles of [Recognition and Rewards](#) (R&R). The TRIPLE model is a tool to bring Recognition and Rewards into practice at UU. It helps to apply a broader perspective on the various aspects of our work and to relate them to each other.



The TRIPLE model applies to all UU staff, at both individual and team level. Teams can use it to discuss everyone's contributions to their objectives. It can also be useful in conversations about individual development or when drawing up texts of job adverts. Above all, TRIPLE is an invitation to every employee and every team to look at the different activities from a broad perspective and discuss them.

The TRIPLE lotus is made up of three types of elements: the base (Team and Leadership), the core (Impact) and the flower petals (the domains in which we carry out our activities). Team spirit and (personal) leadership are the foundation supporting every employee and team: they are prerequisites for effective performance, collaboration and personal development.

**Team spirit** refers to the connection between the individual and common goals. It is about collegiality, collaboration, trust, sharing ideas, mutual engagement and contributing to the organisation.

**Leadership** refers to the personal leadership we expect from all our employees. Leadership is not just about leading people. It is also about competences we expect from every employee: giving and taking trust and responsibility, self-reflection and giving room to diversity. We call this

<sup>2</sup> This concerns an initial minor revision. Job profiles for academic positions have been supplemented to include descriptions of activities in the areas of societal impact, Open Science, academic teaching, team contributions and academic leadership.



personal leadership, which applies to all employees and managers. For everyone with managerial tasks, this is also about being a good leader. Find out more about [leadership at UU](#).

The focus is on **impact**: *Why do we do the things we do? What sort of values, drives and expectations does that involve? How do our efforts affect our colleagues, the discipline, the organisation or society? Impact cannot always be determined in advance, and it is not always possible to make target agreements. That is why we prefer to refer to the outcomes of our work rather than specific quantifiable outputs.*

**The domains in which we work** are the 'flower petals' of the lotus. If you zoom out all the way and look at UU as a whole, this is where you will see the domains of **education, research and professional performance/organisation**. When you apply the TRIPLE model as a team or as an individual employee, the three domains can also be made more specific. The goal is always to map the full spectrum of the work, to enable a dialogue about this. The extent to which employees are active in the various domains depends on their position, the context and any agreements made about this. Employees can focus on different aspects and may shift their focus over time.

For the positions of assistant professor, associate professor and full professor, the domains of **education and research** apply in any case, although the scope of both may be subject to variation within teams and can shift over time. These domains may likewise be relevant for other positions and teams, such as for an education coordinator who provides an essential contribution to teaching or a technician who ensures that research can be conducted robustly and safely.

If the work cannot directly be linked to education or research, it falls under the domain of **professional performance/organisation**. As this is a very broad domain, it can be useful to **apply a further breakdown** of this domain. For example, **advising** can be a domain for a policy adviser or study adviser, and **project support** can be a domain for a management and office assistant. Employees choose the domains that are relevant to their team or their position.

Assistant professors, associate professors and full professors are often also involved in the domain of professional performance/organisation. In the medical domain, **patient care** naturally plays an important role. In veterinary medicine, the third domain has been translated to **Animal Health care**. In other contexts, this may involve, *for example*, (science) **communication** or another service for the benefit of academia, society or the local UU community.

### Faculty-level TRIPLE elaborations

Faculties and service departments can further elaborate the TRIPLE model and incorporate it into their career policies. These elaborations can be useful during development interviews, performance assessments and promotions. All TRIPLE elaborations must meet the conditions set out below, and the main points of these elaborations are subject to the approval of the Executive Board.

#### *Detailing of UFO profiles*

All academic positions at UU are based on the job profiles in the UFO system. Further elaborations by the faculties or service departments provide a useful guideline (tool) when interpreting the UFO profiles from a Recognition and Rewards / TRIPLE perspective in each specific context. As regards the distinction between positions and levels within a position, the classification criteria laid down in the UFO profile are leading.

#### *Format*

For each job and for each [TRIPLE component](#), a brief description is given of the essence of this job, along with examples of the possible detailing of the corresponding duties. These examples should be *indicative*. They should provide guidance and clarification, without giving the impression that employees are expected to tick off all the examples. In other words, we should avoid creating rigid 'checklists' that are the same for everyone. Accordingly, we do not describe *fixed* profiles (e.g. an 'impact profile' for academic positions). Each elaboration leaves room for focusing on different aspects and for individual contexts.

In 2024, a UU-wide evaluation of all TRIPLE elaborations will take place.

**TRIPLE elaborations**

- + a tool for interpreting UFO profiles from an R&R perspective
- + examples to provide guidance and clarity
- + room for focusing on specific aspects and for different contexts
  
- no checklists
- no fixed profiles

### **3.3. Diversification and making careers more dynamic**

**Diversification**

UU encourages diversification within teams. This means that employees can follow different career paths and can make individual choices on the aspects they focus on in their job. Employees with the same function can focus on different aspects (focal points).

Diversification is crucial to both the employee's development and that of the team and organisation. The scope of activities in each (TRIPLE) domain may vary greatly between employees. We make [strategic choices](#) in this area on the basis of team objectives, organisational needs and the needs of individual employees. No one has to be able to know or do everything.

Employees are encouraged to make individual choices on the aspects they focus on, provided that each employee and each team does so on the basis of team spirit and (personal) leadership. By making individual choices on the aspects we focus on, we create room for individual development, different talents and ambitions. This can also take the form of a temporary project or a role someone takes up in addition to their regular duties. For more information, see the above description of [TRIPLE](#). In addition, employees in the position of Assistant Professor, Associate Professor or Professor are also expected to adopt a [dual role and divide their time between teaching and research](#), which may involve shifts in scope and over time.

In order to leave room for differences, UU does *not* have fixed career paths, tenure tracks or fixed profiles.<sup>3</sup> Employees and managers make agreements that reflect both personal development goals and team objectives.

**Making careers more dynamic**

In addition to diversification, UU also strives for dynamic careers. This means that the aspects which employees choose to focus in their job may change over time. It is also possible to make changes to these focal points within one and the same position, e.g. by adjusting duties or by taking up different roles. Employees may step back from a particular (TRIPLE) domain (either temporarily or for a longer period of time) and subsequently invest more time in this domain at a later stage. They may also transfer to other positions. This can also be a position with the same salary scale. UU encourages and facilitates this kind of horizontal mobility. Employees make choices appropriate to their career phase and personal circumstances. See the section on [continuous development](#) in chapter 2 for more details.

---

<sup>3</sup> At present, UU does *not* have an active tenure track policy. The reason for this is that we want to leave room for differences: employees and managers make agreements that reflect both personal development goals and team objectives / organisational needs. But at the same time, we also provide equal opportunities for all. It is not predetermined who can and cannot advance to a more senior position. The preconditions for further development are the same for all employees.

Temporarily or permanently switching from an academic position to another kind of position, or vice versa, should also become easier and more common at UU in the future. We will further explore the preconditions for this change in the coming period.

### **Combined positions**

A combined position is a position that combines multiple job profiles or components thereof. In light of the need to ensure that all employees are recognised and rewarded equally and our commitment to diversifying careers and making them more dynamic, UU strives to better facilitate combined positions, including combinations of academic and other job profiles, in future. UU will be exploring ways to facilitate combined positions more effectively, for example, by solving registration problems, over the course of 2023. The next step will be to design a framework for combined positions that incorporates aspects such as agreements on salary scales or hierarchical embedding. This framework will be integrated here in due course.

One combined position has already been detailed, namely that of [Junior Assistant Professor \(Junior UD\)](#). The agreements regarding this position are described in chapter 4.

## **3.4. Staff planning**

Staff planning is a methodology for periodical reflection on the capacity and quality of employees and/or teams. The aim is to reflect on existing qualities and development opportunities and subsequently act on them so that the team is optimally suited to the tasks at hand. Staff planning comprises two core elements: assessing the current situation (gaining insight into the capabilities of employees and expected personnel developments, e.g. retirements, etc.), as well as anticipating future qualitative and quantitative needs (strategic staff planning). HR departments can advise and support managers in this process.

We have developed various staff planning [tools](#) for managers as part of the Recognition and Rewards programme. These resources emphasise the importance of team development and the diversification of profiles and careers.

### **Gaining insight into employee qualities: staffing assessment**

The [staffing assessment](#) is an integral part of the staff planning process. In a staffing assessment, managers consult with each other to identify the qualities, results and development opportunities of their teams. It involves assessing the performance and potential of all employees, which creates a comprehensive picture of overall staff performance within a team or organisational unit. Managers can then make agreements with their employees on targeted actions to encourage the desired development (also in relation to team objectives), as well as on potential future career steps. Regularly conducting staffing assessments at team level makes it easier to manage the development and professionalisation of individual employees. It also helps to prevent any knowledge and skill deficiencies within a team or department.

### **Strategic staff planning**

In order to be able to achieve UU's ambitions, we need to have diverse teams that collectively possess the necessary competences. This requires looking ahead and anticipating future needs through strategic staff planning. Based on the objectives and future developments, managers determine the future requirements of expertise and competences in terms and to what extent these differs from the current situation. These insights enable decision-making in relation to the development of people and teams. Strategic staff planning plays an important role at all organisational levels.

## **3.5. Promotions and appointments**

Employees are never automatically promoted to the next level in their current job profile or to a successive job profile. Several aspects are weighed up for all promotions. These include strategic objectives at both team and organisational level, available work activities, and available financial resources. But they also include the development goals, competences and performance of

individual employees. These aspects are all important. Some may weigh more heavily than others depending on the relevant position and career stage. The powers in relation to promotions and appointments are set out in the [mandate regulations](#) of the service departments and faculties.

Additional agreements have been made for academic positions; see chapter 4 for the [Career Principle for Assistant Professor 1 and Associate Professor 2](#) and for [appointments to the position of Professor](#).

## 4. Additional arrangements for Academic positions

Chapters 1, 2 and 3 of this framework apply to all UU employees. Chapter 4 contains additional arrangements for employees in academic positions.

### 4.1. Dual teaching and research role

Academic careers at UU are based on the principle that jobs involve a combination of teaching and research duties, where applicable supplemented by duties relating to [professional performance](#) or patient care. UU reserves permanent academic positions for employees who combine teaching and research and, where applicable, activities in the professional field, and who meet the relevant [qualification requirements](#) for these positions.

The scope of teaching, research and professional performance / patient care duties may [vary](#) within a job profile and over the course of an employee's career. Administrative / managerial academic positions not always require a full combination of teaching and research duties. The leadership domain weighs more heavily in these positions.

Duties in the areas of teaching, research and, where applicable, professional performance / patient care have equal weight. Ensuring that teaching performance is equally rewarded relative to research performance is a key priority. To this end, UU has developed a tool, the [Indicators for the Evaluation of Educational Achievements](#). These indicators help managers and employees to determine the standard of teaching activities and discuss educational development opportunities.

#### Singular positions

UFO distinguishes three academic job profiles in which teaching and research are not or only to a limited extent combined: PhD candidate, teacher and researcher. In view of UU's commitment to good employment practices, employees in these positions require extra attention. Because their positions do not or only to a limited extent combine teaching and research, and because their activities are in principle performed for a fixed period, these employees have fixed-term employment contracts. This makes it all the more important to provide them with room for development. The development opportunities available for employees in these positions are listed in the [Development Guide](#).

The university strives to offer robust, long-term temporary employment contracts with room for development wherever possible. Upon commencement of employment, the manager explicitly discusses the type of engagement, development opportunities, mutual expectations and the preconditions for permanent employment. Towards the end of their employment, employees receive [guidance and support](#) to help them advance their careers outside UU.

The final section of this chapter outlines some specific agreements that apply to [PhD candidates](#), [teachers](#) and [researchers](#).

## **4.2. Career principle for Assistant Professor 1 and Associate Professor 2**

In decisions on promotions from Assistant Professor 2 to Assistant Professor 1 and from Assistant Professor 1 to Associate Professor 2, individual factors (development goals, competences and job performance) are given the most weight in line with the organisational and team goals. The focus lies on the suitability of individual candidates here (career principle). This means that requests for promotion do not always necessarily have to be prompted by a vacancy. In decisions on promotions to a more senior academic job profile or level, i.e. Associate Professor 1 and Professor 1 and 2, the strategic objectives of the team, department/faculty/university take precedence and the available scope for staffing needs to be sufficient (staffing principle). A procedure to assess the suitability of potential candidates can only be initiated after a vacancy has become available.

For all promotions (under the career principle as well as the staffing principle) duties at the level of the higher position must be available within financial frameworks. From the level of Associate Professor upwards, leadership duties and responsibilities comprise an essential component of the position. Faculties formulate their own principles for the structuring of a research group, as well as a staffing budget. See chapter 3 for more information on [promotions and appointments](#).

UU's career principle for the positions of Assistant Professor and Associate Professor 2 encourages employees in these positions to work on their development.

## **4.3. Appointments to the position of Professor**

At UU, appointments to the position of Professor are subject to the performance requirements and classification criteria in the UFO profile as well as specific [qualification requirements](#). Appointments to the position of Professor 2 may be subject to [faculty-level elaborations of the TRIPLE model](#). A UU-wide Promotion Profile (see [Appendix](#)) has been developed for the position of Professor 1, based on the same principles as for faculty-level TRIPLE elaborations.

Professors are appointed by the Executive Board, on the recommendation of the dean. The Board for the Conferral of Doctoral Degrees (*College van Promoties*) advises on appointments to the position of Professor 2. A university promotion committee advises on appointments to the position of Professor 1. The Executive Board may decide to appoint professors for an initial term of five years. If their job performance is evaluated favourably during the period of temporary appointment, they will be appointed for an indefinite period following a nomination to and confirmation by the Executive Board.

The relevant procedures and detailed arrangements set out in the UU's [Professor Policy](#). [The Promotion Profile and Procedure for the position of Professor 1 \(Appendix\)](#) was adopted in 2021 as a supplement to the Professor Policy.

## **4.4. Qualification requirements**

The job profiles and classification criteria in UFO and CAO NU provide a framework for all positions at UU. UU has made additional arrangements for academic positions, in the form of a qualification system.

Candidates must attain these qualifications in order to fulfil a job profile. However, attaining the necessary qualifications is no guarantee for promotion. In addition to the individual suitability of the candidate, several [other aspects](#) are always considered in decisions on promotions.

UU distinguishes between the basic university qualifications (university teaching qualification (UTQ / BKO) and university research qualification (URQ / BKOz)) and senior qualifications (senior teaching qualification (STQ / SKO) and senior research qualification (SRQ / SKOz)). The university teaching qualification constitutes an initial benchmark and concerns the minimum skills an

employee must possess in order to adequately perform their duties at the level of Assistant Professor. The senior qualification builds on the basic university qualification. This represents the second benchmark in the development process. The senior qualifications cover the qualities that every leader and every manager working in education or research must possess, i.e. the minimum skills a staff member must have in order to adequately perform their duties in positions above the level of Assistant Professor.

#### Qualification requirements for each job profile

- **PhD candidate:** university Master's degree or Master's examination (*doctoraal examen*).<sup>4</sup>
- **Teacher:** university Master's degree or Master's examination; from Lecturer 3 upwards candidates must also have a (basic) university Teaching Qualification (*basiskwalificatie onderwijs*, BKO).
- **Researcher:** (basic) university research qualification (*basiskwalificatie onderzoek*, BKOz) (PhD).
- **Junior Assistant Professor (Junior UD):** university Master's degree or Master's examination (*doctoraal examen*).
- **Assistant Professor:** (basic) university teaching qualification and (basic) university research qualification (PhD).
- **Associate Professor:** (basic) university teaching qualification and (basic) university research qualification, plus a senior teaching qualification (SKO) or senior research qualification (SKOz).
- **Professor:** both senior qualifications.
- **Clinician:** (basic) university teaching qualification and specialist examination.

The qualifications are categorised by performance area (teaching and research). The university emphasises the importance of combining research and teaching. Accordingly, academic staff must be able to demonstrate that they meet the required minimum standard in both these areas. The qualification system thus contributes to quality assurance, equal rewarding of teaching and research, and leadership development. UU will explore opportunities to further align the senior qualifications with the principles of Recognition and Rewards in a subsequent stage.

#### Teaching qualifications

Criteria and procedures for teaching qualifications can be found in the [University Teaching Qualification Regulations](#) and the related faculty supplements.

#### Research qualifications

The procedure for university research qualifications is laid down in the [Doctoral Degree Regulations](#). With regard to the senior research qualification, each faculty establishes regulations governing the application process, assessment and awarding of the senior research qualification under the responsibility of the dean. The drafting and amendment of faculty regulations is on main points subject to the approval of the Executive Board.

At a minimum, the senior research qualification (SKOz) encompasses:

- PhD or equivalent research achievement (basic university research qualification);
- in-depth knowledge of the discipline;
- demonstrable high-level recognition of their academic publications;
- the development of research programmes;
- the ability to train researchers;

---

<sup>4</sup> In exceptional cases, persons with other prior education may also work as PhD candidates, provided that this is requested in accordance with Article 7.18 of the Higher Education and Research Act (WHW) and the provisions of UU's [Doctoral Degree Regulations](#) and the [minimum requirements for quality assurance](#). Please consult the juridical department during the candidate selection process.



- the management of research alliances;
- in-depth insight into research quality assurance;
- knowledge of the interrelationship between disciplines.

### Run-up period

As a rule, employees who are unable to meet all the qualification requirements for a job profile will not be approved for that job profile. In the event that a candidate lacks some of the required qualifications and if other circumstances warrant such a decision, the mandated official may decide to nevertheless assign them to the relevant job profile. This must be subject to a clear agreement on attainment of the required qualifications and the deadline for their attainment. The agreement must then specifically describe the actions to be taken during this period.

A 'run-up period' (deadline for attaining a qualification)<sup>5</sup> may be agreed for both temporary and permanent appointments. In many cases, the deadline for attaining a qualification will not coincide with the deadline for converting temporary appointments to permanent ones in accordance with the CAO NU. Failure to attain a qualification by a specific date does not constitute grounds for withholding permanent employment. Assessments of a candidate's suitability will factor in the extent to which the employee is progressing towards the required qualification in accordance with agreements made. This means it is important to make clear individual agreements at the start of employment, and monitor their progress.

Opportunities for a run-up period vary depending on the job profile:

- **Assistant Professor:** The university research qualification (BKOz) is the minimum entry requirement for the position of Assistant Professor 2. Candidates *cannot* be granted a run-up period in order to attain the BKOz. A run-up period of up to two years may be agreed in order to attain the university teaching qualification (BKO) in the case of an international candidate or if other circumstances warrant this. The latter concerns exceptional cases. As a rule, Assistant Professors must possess both basic university qualifications. With regard to promotion to Assistant Professor 1, there is *no* option of a run-up period in order to attain a basic qualification.
- **Associate Professor:** The entry requirement for the position of Associate Professor (UHD) is one senior qualification. If a vacancy is filled by an external candidate, a run-up period for attaining the senior qualification may be agreed upon if necessary. Such agreements are based on a maximum period of two years. The same applies to internal candidates filling the position of clinician (see below for details). This option is not available for other internal candidates.
- **Professor:** The entry requirement for Professor is two senior qualifications. If a vacancy is filled by an external candidate, a run-up period for attaining the senior qualifications may be agreed upon if necessary. Such agreements are based on a maximum period of two years. This option is not available for other internal candidates.

### Externally attained qualifications

- In the case of the university research qualification (PhD, BKOz), externally attained PhDs are deemed equivalent to UU PhDs.
- The university teaching qualification (BKO) can be attained at any Dutch university. Within the UNL, universities have agreed to mutually recognise the university teaching qualification.
- Other UU or external qualifications are no substitute for the basic university qualifications (BKO or BKOz) or senior qualifications (SKO or SKOz) for teaching and research. Deans may decide on possible exemptions following a recommendation by the assessment committee. Basic university qualifications or senior qualifications are always awarded on the basis of a portfolio. The administrative burden on the candidate and the committee is to be minimised as far as possible. For more information, see the [University Teaching Qualification Regulations](#) and the Faculty Research Qualifications Regulations.

---

<sup>5</sup> This does not refer to assignment to a preliminary scale in accordance with Article 3.7 of the CAO NU.

### Supplementary regulations

If the position is designed to bring in specific expertise from the professional field, faculties may establish further rules regarding qualification requirements by way of exception. These additional regulations concern groups of employees and require the approval of the Executive Board. Once approved, they will be added below.

#### *Clinical Teaching Qualification (KKO)*

The clinical teaching qualification (KKO) offers healthcare professionals the opportunity to receive (additional) clinical teaching instruction. UU considers the KKO to be equivalent to the BKO. The KKO pathway is comparable to the regular university teaching qualification in terms of difficulty and expected time investment. At present, the KKO is only applied by UMC Utrecht. The criteria for the KKO were formulated by UMC Utrecht and adopted by the vice-dean of Medicine. They are derived from the criteria for the BKO and adjusted to reflect the context of workplace training in a clinical setting.

#### *Specialist examination as entry level qualification for senior qualification*

The qualification requirements for [clinicians](#) at the Faculty of Veterinary Medicine have been partially adjusted to reflect the competences and skills required for the position: clinicians being promoted to the position of Associate Professor will initially only be required to hold both basic university qualifications and to have completed the specialist examination. The specialist examination will be considered the entry-level qualification for the SKO in this case. This is subject to the same condition applied to external candidates, namely that the clinician completes the portfolio amassed through the specialist examination into an SKO within a maximum of two years. Other than that, clinicians are subject to the regular qualification requirements for Professor appointments.

#### *Teachers in professional practice*

Teachers in professional practice contribute important specialist knowledge to the education system. Teachers in professional practice with a limited tenure at UU who are working in this capacity alongside their main position elsewhere do not need to attain a university teaching qualification. However, they are encouraged to develop their skills as teachers at an appropriate level, for example by attending a Start to teach training course, or attaining a partial teaching qualification. (See the University Teaching [Qualifications Regulations](#) for further details).

## 4.5. Agreements on specific positions

This last section contains agreements on a number of specific positions:

- [PhD candidate](#)
- [Junior Assistant Professor \(Junior UD\)](#)
- [Teacher](#)
- [Researcher](#)
- [Specialist in Training \(SIO\) and Clinician](#)

### PhD candidate

UU distinguishes between the standard PhD track and PhD tracks with a larger teaching component. The CAO NU also allows for a longer combined track in which the candidate is expected to obtain the BKO and complete their doctoral programme. The combined track is described in detail under 'Junior Assistant Professor' (Junior UD). UU has laid down the following agreements for PhD tracks with a larger teaching component (within the scope of the regular position of PhD candidates).

#### *PhD track with larger teaching component*

This variant grants PhD students an extra year for their PhD track; during this extra year, they spend an average of 20% of their time on teaching. They will be given a five-year employment contract in accordance with Article 2.3(8) of the CAO NU.<sup>6</sup> In consultation with the supervision

---

<sup>6</sup> CAO NU 2022/2023



team, the director of education and, where applicable, the grant provider, they spent 20% of their time on teaching duties. This includes the time required for attending training and attaining a (partial) university teaching qualification.

The additional year will be funded from faculty educational resources. Candidates may choose this option at the start of their PhD track. Following the go/no-go decision, candidates again have the opportunity to choose this option. PhD candidates receive training and guidance on both the teaching and research aspects of their work. Promoters have the added responsibility of regularly checking whether the work can still be completed in the available time. If necessary, they will adjust the schedule in consultation with the PhD candidate.

#### *Other arrangements*

For other arrangements on PhD tracks, please refer to UU's [Doctoral Degree Regulations](#). UU has also compiled a [PhD Manual](#) containing all the necessary information for prospective and current PhD candidates.

#### **Combined teaching and research duties: Junior Assistant Professor**

The CAO NU allows for a combined teacher/researcher or teacher/PhD candidate profile. This profile can be applied under the UU job title of 'Junior Assistant Professor', which is based on the UFO profiles of teacher and PhD candidate. A schematic overview based on the UFO classification is [attached](#). The UU job title of Junior Assistant Professor will be phased out as soon as the [framework for combined positions](#) is finalised and SAP has been adjusted accordingly.

The Junior Assistant Professor position is intended for employees at the start of their academic careers who have teaching and research duties and have not yet attained a PhD. This position centres on the development of both teaching and research skills, and the attainment of basic qualifications (PhD and BKO).

UU applies the following guidelines for the application of the position of Junior Assistant Professor:

- The employee is offered the opportunity to attain both their PhD and BKO within the framework of their position.
- Prior to the start of the track, clear agreements will be made with the employee on the balance between teaching and research duties. The research component and teaching component may be funded from different sources.
- The employee will be offered a one-off temporary employment for a period of 6 years assuming full-time employment pursuant to Article 6.12/2.2a<sup>7</sup>. If this type of employment contract is not possible due to prior employment at UU, a tailor-made solution will be sought. This could include offering permanent employment combined with clear agreements on the attainment of qualifications. Temporary termination of employment to avoid a permanent employment contract is not in line with our principles for good employment practices.
- The employee will be classified in salary scale 10.
- Employees with a permanent position as Junior Assistant Professor will be upgraded to Assistant Professor once they have attained both basic university qualifications (BKO and PhD).
- However, employees with temporary contracts will *not* automatically advance to the position of Assistant Professor. If it is already known that the employee will be offered an Assistant Professor position, the faculty may choose to offer the prospect of an Assistant Professor position at the start of the track, provided that both basic university qualifications have been attained.
- The one-off temporary employment contract may continue until the end of the term, even if the employee has since attained both basic university qualifications.

The Junior Assistant Professor position is *not* applicable to employees who:

---

<sup>7</sup> CAO NU 2022/2023

- have attained their PhD but are yet to attain a BKO. Agreements will then be made with that employee as part of the Assistant Professor position, whereby they must attain the BKO within two years.
- are doing PhD research and in addition spend 20% or less of their total working hours on teaching duties. In these cases, the job profile of [PhD candidate](#) will apply.
- largely has teaching duties, and only spends 20% or less of their total working hours on research duties. In these cases, the job profile of [Teacher](#) will apply.
- has attained their PhD, mainly has research duties, and only spends 20% or less of their total working hours on teaching duties. In these cases, the job profile of [Researcher](#) will apply.

## Teacher

Since this position does not combine teaching and research, or only does so to a limited extent, and the work is basically temporary, employees under this profile are employed on fixed-term contracts.<sup>8</sup> (Read more about [singular positions](#).) As a rule, UU prefers to use job profiles that do combine teaching and research, such as the position of Assistant Professor. The Teacher job profile is based on the principle that Teacher 3 and 4 are offered a one-off contract of at least 0.7 FTE and a minimum of four years on the basis of Article 2.2a of the CAO NU<sup>9</sup>. This tenure includes a minimum of 10% development time geared towards professionalisation and career advancement, including attainment of the University Teaching Qualification. If four year appointment is not possible for valid reasons, e.g. in cases where the candidate is replacing a (sick) colleague, a 12-month employment contract will initially be offered. This contract may then be extended to a maximum of 36 months. A maximum of two extensions may be offered within this period.

### *Qualification requirements*

Employees in this job profile have attained a university Master's degree or Master's examination at minimum. From the level of Teacher 3 upwards, candidates must also have a university teaching qualification.

### *Career prospects*

Before starting employment, employees are informed that there is no prospect of permanent employment in this job profile at the end of their temporary employment. Employees will be given time to work on their professional development during their tenure.

### *Attaining the University Teaching Qualification*

Employees classified in the position of Teacher will start the process of attaining a university teaching qualification from the very beginning of their employment; as a rule, this qualification must be attained within two years.

### *Research tasks*

As a rule, employees in the position of Teacher do not have any research duties. However, they may be offered scope to carry out a limited number of teaching-related research tasks if this is desirable in the context of their personal development. Development/research time should account for no more than 20% of the total working hours and should be focused on personal development.

---

<sup>8</sup> Non-specialist veterinarians with structural teaching duties at the Faculty of Veterinary Medicine form an exception. Since there is no suitable UFO profile for them, they are given permanent employment contracts under the Teacher profile, which best reflects their duties. Teachers in professional practice with a limited tenure at UU who are working in this capacity alongside their main position elsewhere form a second exception to this rule. They contribute important knowledge from professional practice and can also be affiliated with UU for a longer period of time.

<sup>9</sup> CAO NU 2022/2023

## Researcher

Since this position does not combine teaching and research, or only does so to a limited extent, employees in this profile are offered fixed-term contracts.<sup>10</sup> (Read more about [singular positions](#).) Accordingly, UU generally prefers to apply the Assistant Professor job profile with its combination of teaching and research tasks. The Researcher job profile is mainly applied for postdocs (Researcher 3 and 4). All employees in this job profile must:

- have a basic research qualification (PhD);
- Before starting employment, employees are informed that there is no prospect of permanent employment in this job profile at the end of their temporary employment;
- be given time to work on their professional development during their tenure.

As a rule, employees in the position of Researcher do not have any teaching duties. However, they may be offered scope to carry out teaching tasks - preferably related to their research - to a limited extent if this is desirable in the context of their personal development.

Development/teaching time should on average account for no more than 20% of the total working hours and should be focused on personal development. If this percentage is higher, employees will be classified in the position of Assistant Professor provided they meet the qualification requirements.

## Specialist in Training (SIO) and Clinician

The job profiles of Clinician and Specialist in Training (SIO) have been included in UFO system since 2020 as part of the education and research job family, and are listed under Rare Jon Profiles. Veterinary health care, education and research are inextricably linked at the Faculty of Veterinary Medicine. Achieving faculty goals in the areas of both animal health care, teaching and research thus requires specialists in addition to other academic staff. Becoming a specialist involves the completion of a three- to four-year accredited degree programme and final examination. The Specialist in Training (*Specialist in Opleiding*, SIO) teaches and publishes for the professional field in preparation for this examination. SIOs are employed on a temporary basis throughout the programme. Clinicians are specialised veterinarians who have completed a specialist programme. This is elaborated in further detail in the Faculty of Veterinary Medicine's career policy for veterinary science specialists. The [qualification requirements](#) for Clinicians are described above<sup>11</sup>.

# 5. Appendices

Appendices are available on the [intranet](#).

- a. Profile of Junior Assistant Professor
- b. Promotion Profile for Professor 1

---

<sup>10</sup> Researchers whose temporary contract can no longer be extended while their temporary externally-funded research is still ongoing may be offered a permanent contract that ends as soon as the project is completed or the funding is discontinued (a so-called 'conditional permanent contract').

<sup>11</sup> Other faculties (in particular the faculties of Science and Social Sciences) also employ staff with clinical duties but, at the moment, they use other job profiles for this purpose.