# SUMMARY EVALUATION

# TENURE TRACK

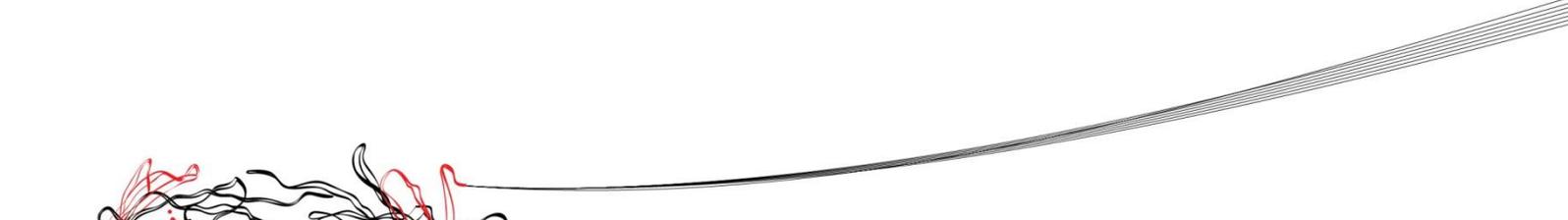UNIVERSITEIT TWENTE.

# Management Summary

The evaluation of the Tenure Track of the UT is derived from the questions posed by faculties and Tenure Trackers after having worked with the Tenure Track for a number of years. In addition, the evaluation examines the goals set by the UT at the initiation of the Tenure Track.

The goals of the Tenure Track are:

- Improving the university's ability to attract and offer opportunities to talented scientists and academics
- Improving quality and innovation in research (company results)
- Internal growth: candidates for key positions will be trained and appointed internally
- Increasing labour mobility

As a result of the evaluation, the evaluation committee has come to the conclusion that the set goals are being achieved, but there is room for improvement. The Tenure Track as a personal improvement system is in itself not a point of discussion, following the findings of the evaluation. The evaluation committee advises to explicitly include education in the goals of the Tenure Track.

The Tenure Track has proven to appeal to young scientists and academics, and that the guarantee of promotion in accordance with successful performance is essential. A defining characteristic of the Tenure Track at the UT is the final station of Professor, and the evaluation committee has determined that the UT is differentiating itself with this and offers an attractive talent track.

Improvements

The evaluation committee has suggested several improvements. In conclusion, the evaluation committee proposes that:

- The UT should position its Tenure Track more prominently. The Tenure Track is the fast track for multi-talented scientists in the areas of education and organization. These will be the future leaders of the UT.
- The UT should continue to differentiate itself by means of continuing to offer Professorship as final station.
- We want the majority of Tenure Trackers to achieve the final station. That requires:
  - Critical selection at the intake phase
  - Organized support in the form of a start-up package (money, time and facilities)
  - Thorough evaluation at promotion
- The UT needs to be more specific in its domain plans regarding where there will be space for Tenure Track positions and what the implications these positions could have in the development of domains, the construction of departments, and the long-term budget.

# 1. Introduction

In order to increase our appeal as an employer and to optimally challenge and facilitate talented scientists, the UT has decided to implement the Tenure Track system in stages, to support the career developments of academic staff members.

The first Tenure Tracker started in 2009, and by 30-04-2015, the UT employed 115 Tenure Trackers. In November 2012, Tenure Track policy was established for the entire university. After working with this Tenure Track policy for two years, there is reason to make some guiding policy decisions to further the growth of the Tenure Track. Firstly, there are questions among the faculties regarding the implementation and execution of the Tenure Track. Secondly, the evaluation performed by the Faculty of Science and Technology in 2013 can give meaningful input towards the growth and development of our procedures.

The interest in Tenure Track is significant. Faculty boards have followed its implementation carefully and have provided constructive input for improvements. After performing their evaluation, the JA@UT network sent a paper to the Executive Board that constructively discusses the positive aspects of the Tenure Track and what could be improved.

In order to assess the available information and to determine where further research is necessary, a Tenure Track committee was established and began working in September 2014. As a starting point for the evaluation, the Tenure Track committee has decided to use the existing documents, further supplemented by input from several meetings. The specifications of the source documents are described in Chapter 2, "The Strategy." The committee believes there is division regarding the issues that need to be addressed and hopes that the strategy described below will provide proper insight into the advantages of the Tenure Track, as well as its difficulties.

In this short version of the evaluation report, you will find the format of the evaluation, the conclusions and recommendations.

- Introduction (page 3)
- Strategy/Methodology (Chapter 2/page 4)
- Background (Chapter 3/page 6)
- Main Themes and Questions (Chapter 4/page 7)
- Conclusions and Recommendations (Chapter 5/page 11)
- Appendices (page 24)

The full Dutch evaluation report can be requested from the HR department, if desired. In this extended report, you will find more information regarding:

- Chapter 5: Results of the comprehensive analysis based on the sources consulted.
- Chapter 6: Proposal for Implementation
- Bibliography
- Appendix 1, tables and graphs
- Appendix 2, input of themes from the consulted sources

# 2. The Strategy

**A** central Tenure Track committee was established for the evaluation. Its members are:

| | |
|---|---|
| Prof. Dr. H. Brinksma | Chairman/Rector Magnificus |
| Prof. Dr.C.W.A.M. Aarts | Scientific Director IGS |
| Prof. Dr-Ing. D.H.A. Blank | Scientific Director MESA+ |
| Dr. N.H. Katsonis | Senior Lecturer Science and Technology & member Young Academy JA@UT |
| Prof. Dr. G.P.M.R. Dewulf | Dean Faculty Engineering Technology |
| Prof. Dr-Ir. J.W.M. Hilgenkamp | Dean Faculty of Science and Technology |
| Prof. Dr-Ir. G. Koster | Adjunct Professor Science and Technology /IMS and |
| Chairman | |
| | Science and Technology Faculty Board |
| Prof. Dr-Ir. A. Veldkamp | Dean Faculty of Information and Communication Technology |
| Ms. R. Schwartz/M. Sjerps, MSc. | Secretary/(Sr.) HR policy advisor |

The committee has had access to a great deal of written information and has collected information regarding the experiences of co-workers, executives, co-management and administrators. In addition to having conversations about advantages and difficulties of the Tenure Track system, the committee has also gathered input from the Faculty Tenure Track committees, deans and HR advisors regarding their experiences over these last years with the guidance and evaluation of Tenure Trackers. The evaluation explicitly references these sources when they are used. The following sources were used for the evaluation. On the one hand they put forward the focus of the main themes and on the other they can be seen as input towards answering these evaluation questions.

Policy Documents

- Memorandum "Tenure Track" (reference number 379.146/P&O dd. June 2007)
- "Elaboration on the Notes for the Tenure Track Career Perspectives for Excellent, Young Scientific Personnel" (reference number 382.933/PAO, dd. June 2008)
- Tenure Track in Practice at UT, (reference number 399.032, noted November 2013)
- Evaluation Assignment by Tenure Track committee, May 2014
- Questions to University Council committee FPB regarding Tenure Track evaluation, October 2014
- Letter University Council evaluation Tenure Track UR 14.154

Evaluation Documents

- Research report on Tenure Track Policy at Dutch Universities. LNVH, January 2014. (LNVH= National Network of Women Professors)
- Tenure Track Benchmark Report. LNVH, July 2013. (Faculty of Science and Technology participated in a national study on Tenure Track)
- Science and Technology Internal Evaluation, June 2013
- Advice from Ambassadors' Network, June 2014
- JA@UT position paper 20140919

- Gap Analysis HRStrategy4Researchers (The UT would like to adopt the logo of HRS4R, which will identify us as a university that develops and implements HR strategies that support scientists in the performance of their tasks and responsibilities. In order to be able to use this logo, a gap analysis was done and a plan was established to improve these HR strategies.)
- EEMCS Tenure Track Professors' Dinner (20 May 2014)
- Analysis of intake, advancement and outflow statistics (April 2014)
- 10 Golden Rules for Tenure Track, FOM, Appendix in FOM-14.1527 (FOM= non-profit organization for Fundamental Research of Matter)
- FOM: Summary of Analysis of Tenure Track Universities: General Information (website analysis April 15, 2015)

Meetings:

- JA@UT with (previous) central Tenure Track committee
- JA@UT conversation with the Rector, 28 August 2014
- Meetings of Tenure Track committee, 5 September 2014; 19 November 2014; 14 January 2015; 11 March 2015; 12 May 2015
- Discussion meetings 27 January 2015 and 29 January 2015
- Tenure Track HR Work Group, 5 March 2014, 21 April 2015 and 22 April 2015

# 3.Background

The Faculty of Science and Technology were the first to begin with the implementation of the personal advancement system, Tenure Track. Other faculties followed, starting in 2010. The Faculty of Behavioural Sciences was the last to begin, with their first Tenure Track inflow in 2012. As of April 30, 2015, the UT had a total of 115 Tenure Trackers.

The implementation of Tenure Track was prepared by means of developing policy and a framework and was then established in the memorandum "Tenure Track" reference number 379.146/PA&O dd. June 2007 and "Elaboration on the Notes for the Tenure Track Career Perspectives for Excellent, Young Scientific Personnel" (reference number 382.933/PAO, dd. June 2008).

UT-wide Tenure Track policy was established in November 2012. This policy was characterized by UT-wide criteria and procedures. The guidelines that were decided upon have been laid down in the memorandum "Tenure Track in UT Practices, reference number 399.032/HR Nov. 2012.

The Tenure Track system benefits from a clear, unambiguous and transparent process and uniform, UT-wide criteria that maintain the quality of Tenure Trackers.

**The core of the current Tenure Track Policy at the UT:**

Content:

- Attract and keep talented scientists
- Good performances guarantee advancement
- Final station of Professorship
- Temporary appointment: a permanent appointment after 5 years, or outflow after a maximum of 6 years

Goals:

- Appeal as a university, offer opportunities to talented scientists
- Innovation in research and increased quality (company results)
- Internal growth: candidates for key positions will be trained and appointed internally
- Increasing labour mobility (internal and external)

In short: A smooth Tenure Track system is attractive, transparent and leads to success in results and growth.

Distinctive at the UT:

- The Tenure Tracker at the UT fits the High Tech Human Touch profile and is characterized by cooperation, vision, and leadership.
- The UT and the University of Groningen (RUG) offer a career path to Professor 2. Other universities offer a career path to Senior Lecturer 2 or 1 in their Tenure Track.
- The UT and RUG are the only two universities that give a PhD right to scientists in a Senior Lecturer 1 position, by appointing them to a position of Adjunct Professor.

# 4. Main Themes and Questions

## 4.1. Main Themes

Many involved people have contributed to the fine-tuning of the Tenure Track policy at the UT. The documentation and meetings described above brought to light many strong points, points to be improved, suggestions and questions regarding the Tenure Track at the UT (for and extended inventory of the input, see Appendix 2). Suggestions, including those given by JA@UT, the Faculty of Science and Technology Board, the Network of Ambassadors, the FOM, HRS4R, the University Council, the LNVH, the Science and Technology internal evaluation, the Tenure Track Evaluation committee, the hearings and the HR work group were clustered according to theme and serve as the framework for this evaluation. Below is an overview of main themes with the most important questions distilled from the sources. These questions are further discussed in the next section, the Evaluation Questions.

Goal of the Tenure Track

The main questions regarding the goal of the Tenure Track that have been asked in the source documents include: To what extent have the goals that were set at the introduction been accomplished?

Strategic Personnel Planning

Questions asked in the sources consulted documents regarding strategic personnel planning include: How do we guide quality and staffing long term? How should we position our Tenure Track? What consequences will the current policy have on the long-term budget units? Should we keep the final station of Professor 2? What effects will the Tenure Track have on relationships and structures within the departments?

Tenure Track as (sole) personal promotion system?

Questions asked in the source documents regarding the Tenure Track system being the only personal promotion system include: What kind of influence will the Tenure Track system have on other academic personnel (growth potential for non-Tenure Trackers)? How will we handle outflow (up or out principle)? Should we retain ways to attract external talent?

Support:

Questions from the source documents regarding supporting Tenure Trackers include: Will there be a (intensive) guidance program for Tenure Trackers? Is it possible to offer a start-up package, and do we want to offer it? What kind of support will we offer the supervisors of the Tenure Trackers?

<u>Establishing individual performance goals:</u>

Questions in the source documents regarding individual performance goals for Tenure Trackers include: are the criteria clear? How do we translate these criteria into personal goals? How do we measure educational performance and effort towards the community (organization)? Should we guide and evaluate transcendent traits such as cooperation, vision, leadership and visibility?

<u>Evaluation of promotion</u>

Questions asked in the source documents regarding evaluation of promotion included: What sort of (formal) role should the supervisors have in the evaluation and promotion process? How should the evaluation committee be comprised? (For example, should peers and external associates be included?) What is the role and what are the tasks of the evaluation committee?

<u>Framework of terms of employment</u>

Questions asked in the source documents regarding frameworks of the terms of employment include: How clear and flexible are the rules regarding maternity leave, parental leave, absenteeism, part-time work, and duration of contracts?

**The evaluation questions**

The evaluation committee has put together this input, in clusters and supplemented where necessary. The result is the following list of evaluation questions. These questions formed the guideline for the evaluation. In this evaluation we review the introduction of the system and the experiences we had within the UT.

1. Evaluation of the **Goals** of the Tenure Track
   a. Does the Tenure Track contribute to the increase of our appeal as a university? Do we offer more opportunities to talented scientists with the Tenure Track?
   b. Does the Tenure Track contribute to creating more innovation in research and increasing the quality (company results)?
   c. Does the Tenure Track lead to increased internal growth? Are key positions filled and trained for internally?
   d. Does Tenure Track lead to increased mobility (in- and external)?

2. **Strategic personnel planning**: How should we steer toward quality and staffing in the long term?
   a. What kind of vision does the UT have regarding intake and advancement of Tenure Trackers?
   b. What agreements have we made regarding the intake of Tenure Trackers (Numbers, places, Financing)? What do we want for the future?
   c. What consequences will the current policies have on the long-term budget of the units?
   d. Should we reconsider making every SP-vacancy (scientific personnel) a Tenure Track position?
   e. Is keeping the final station of Professor 2 desirable/necessary?

f. Do we guide policy by using, in addition to substantive targets (for example in domains), quantitative targets as well? If so, which types? What is preferable? (For example with respect to intake, advancement, filling key positions, etc.)

g. To date, how have we been guiding a healthy construction of departments with a balance between Tenure Trackers and other personnel, between different levels of academic positions (Professor, Senior lecturer and Lecturer) and innovation (temporary Tenure Track)? What is preferred?

3. What improvements are needed to work with Tenure Track as **sole personal promotion system**?
   a. To date, how do we deal with promotion outside the Tenure Track? What would be preferred?
   b. What does the answer to question **a** mean in regard to Senior lecturer committees (now offering evaluation up to Senior lecturer 1)
   c. What have we done to date regarding people who do not get promoted to the next level of the Tenure Track? (The up or out principle and the differences between permanent and temporary). What do we want in this area?

4. What **support** do we give Tenure Trackers?
   a. Are Tenure Trackers well informed regarding the opportunities available for coaching and professionalization?
   b. How do we make/maintain space for the development of a Tenure Tracker/research domain for all Tenure Track positions within the UT in the current situation of decline (equal opportunities for Tenure Trackers disregarding their place within the organization).
   c. Which support facilities will be offered structurally (not tailor-made)? Is there a need for a start-up package?
   d. What kind of professional support will we offer Tenure Trackers when gaining external research funds? What would be preferred?
   e. What kind of support will be organized for supervisors of Tenure Trackers? What would be preferred?

5. Tenure Track criteria and the translation into **individual performance goals**
   a. Are all Tenure Track criteria formulated clearly? (Are there differences in criteria per faculty? Is there a need for clear UT policy? Will the initial criteria change during the start-up phase of Tenure Track?
   b. Will all Tenure Trackers get individual performance agreements? (Will we be able to translate the criteria into clear performance goals for Tenure Trackers? What improvements are possible regarding the way in which we formulate and evaluate performance goals?)
   c. How will we measure educational and organizing performance (with respect to contributing to the community) in the evaluation of the Tenure Trackers? What is preferable?
   d. Will soft skills (leadership, visibility, etc.) be included in the evaluation of Tenure Trackers? Do the Tenure Trackers and their supervisors know enough about how to deal with soft skills?

6. **Evaluation of Promotion**
   a. What kind of formal role will the direct supervisor of the Tenure Tracker have in the evaluation/promotion process? What would we like?

b. Should peers be involved in the evaluation process?
c. What information does the Faculty Tenure Track committee need for the evaluation?
d. Are the evaluation committee's roles/tasks/qualifications clear as they have a decisive role in the process?

7. **What frameworks of terms** of employment are necessary?
   a. What kinds of guidelines for customized maternity leave or parental leave are available?
   b. How should we approach extending a Tenure Track in the case of illness?
   c. How do the Dutch law on dismissal (WWZ) and the CLA influence Tenure Track policy? How could impending changes influence Tenure Track policy?
   d. How will we approach continued extensions of temporary appointments, for example, from Post-Doc to Tenure Track?

# 5. Conclusions and Recommendations

As a result of this evaluation the Tenure Track committee has formulated conclusions and recommendations relating to the themes cited below.

On the basis of the information received, it has been concluded that there are four priorities, which we would like to address in the near future.

1. The scope and size of the Tenure Track as a whole and the strategic planning of Tenure Track positions.
2. The embedding of the Tenure Tracker in the academic environment.
3. Evaluation of promotion
4. The selection process in the intake of Tenure Trackers

With regard to the execution of the Tenure Track, the committee has made several recommendations for additional regulations, i.e. accompanying policy:

5. Start-up package
6. Intake responsibilities and guidance of the Tenure Tracker (and their supervisors)
7. Regulations regarding special situations (maternity leave, part-time positions and absenteeism)
8. Up or out, and what will we do next?
9. Composition of TT committee including peers? Consequences regarding Senior lecturer committees
10. Significance of the conclusion and recommendation(s) to present Tenure Tracker?

Finally, the committee reflects on to what extent the goals, which were set at the introduction of the system, have been achieved.

11. The goals of the Tenure Track

In the recommendations you will find new advice as well as advice that re-confirms existing policy. New advice is identified as such.

**5.1 Conclusion and recommendations regarding the strategic planning for Tenure Track positions**

1. Create domain plans in such a way that enough information is available to make accurate estimates regarding the desired number of Tenure Trackers. **(new)**
2. Highlight the budgets for the Tenure Track positions in the long-term budget when these are not structurally included in the flow of funds/fixed formation. **(new)**
3. Evaluate the size and scope of the composition of faculties/domains and the expected flow (in, through and out) within them, before creating a Tenure Track vacancy. **(new)**
4. Do not maintain the principle that every SP-vacancy must be a Tenure Track position. **(new)**
5. The final station of the Tenure Track should remain Professor 2.
6. The up or out principle applies to Lecturer 1 and 2, and Senior Lecturer 2. Starting with Adjunct Professor (Senior Lecturer 1 on PhD track), the up or out principle no longer applies. **(new)**

The Tenure Track is a breeding ground toward achieving innovation in research and education and should be utilized to fill key positions with talented, internally trained scientists.

*Strategic Planning*
When creating a Tenure Track position, it is critical to better examine the developments (shrinkage/growth) within each specific domain and the internal and external possibilities for financing, and it is also vital to better examine the composition of the present departments and their expectations in terms of personnel flowing in, through and out.

The committee recommends creating domain plans which contain sufficient information to enable making accurate estimations in regard to the desired number of Tenure Trackers; for example, they should indicate where there are predictions of innovation and growth and where there are financing opportunities. In the extended budget we will highlight the financing of the Tenure Track position when this is not included in the regular flow of funds or fixed formation.

In addition to innovation and financing, the size and scope of a department/domain can be a consideration in deciding whether or not to offer a Tenure Track position.

The current analysis of the size, scope and composition of the present Tenure Track system shows that the UT exhibits no urgent problems regarding the expansion of key positions. In fact, in the faculty of Science and Technology, it appears that the expected influx of Tenure Trackers for Professor positions will not be compensated by the natural progression among Professors. It has been noted that we need to look further ahead when opening Tenure Track positions and that we need to make focused decisions when opening a vacancy. Not every SP-vacancy should be a Tenure Track position. We would like the opening of a Tenure Track position to be a carefully considered decision, which integrates strategy, finances and the composition of departments.

*Localized Filling*
It remains crucial to leave room at a localized, faculty level when creating Tenure positions. Some faculties need a growing number of young talent and would like to be prepared for to be opened key positions (succession), and other departments have growing research domains and would like to create space for new research programs. The committee therefore recommends stepping away from the idea that every SP-vacancy has to be a Tenure Track position.

*Positioning the Tenure Track*
The Tenure Track is an exclusive talent track. The Tenure Tracker differentiates him/herself form his/her peers in both performance and potential. The critical evaluation moment in the Tenure Track will be after five years. If the candidate has been successful, a permanent appointment will be offered. After a promotion to Senior lecturer 2, we expect 90% to successfully reach the finish line.

*Final Station of the Tenure Track*
Current situation:      The final station of the Tenure Track has been Professor 2 up until now
                        (mid 2015)
                        Appointing a Tenure Tracker to Professor 2 is analogous to a regular
                        professor appointment. (See paragraph 5.6)

| Recommendation: | We recommend continuing to have Professor 2 as final station of the Tenure Track. We also recommend keeping the appointment procedure as analogous as possible to the regular appointment procedure. |
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| Why: | With the Tenure Track, The UT offers an attractive and challenging opportunity to potentially top talent scientists to grow into professorship by means of their own performances and abilities. Our objective is to commit top talent to the UT. |

*Up or Out Principle*

| Current status**:** | To date, (mid 2015), Tenure Track policy has been formulated so that promotion follows positive evaluation of the Tenure Tracker. In the case of a negative evaluation, the Tenure Track ends and the candidate must seek a position elsewhere (See paragraph 5.3). This is called the up or out principle. |
|---|---|

Experience in Practice:  In practice we have seen that the up or out principle, especially in the phase of Adjunct Professor, has had several negative effects:

- Adjunct Professors who do not take the last step towards Professor 2 would have to find a position elsewhere according to current policy. These Adjunct Professors are usually very valuable to the organization and we would prefer to keep them in their current positions at the UT. It would be more valuable to both the candidate and the UT if the candidate would not be forced to leave the UT in this phase of his/her career, if the step towards Professorship is not fitting.
- In the cases that the UT is able to keep a candidate after leaving the Tenure Track (in the phase of Adjunct Professor), the candidate loses the title of Adjunct Professor when the Tenure Track ends, including PhD rights. The candidate experiences this as a demotion.

| Recommendation: | The proposal is to end the up or out principle once the Tenure Tracker reaches the level of Adjunct Professor (UHD1 + PhD rights). The up or out principle would remain in effect for Lecturers 1 and 2, and Senior Lecturers 2 (UD2, UD1 and UHD2).<br>The title of Adjunct Professor may be extended even when the Tenure Track ends and the step to Professor 2 is not (yet) made. |
|---|---|
| Why: | The underlying argument is that a Adjunct Professor has built a track record and he/she is of value to the organization. "Out" should not be the first option in cases where advancement into professorship does not seem possible.<br>: Proposal is to keep PhD rights even though the candidate does not (yet) advance to Professor 2, keeping in mind that a change in legislation is expected. In the coming months there will be more clarity regarding this change, which is why Adjunct Professors can keep their PhD rights under still to be determined conditions. |

This consequently means that before a decision is made to promote a Tenure Tracker to Adjunct Professor, a strict evaluation must take place. In addition to evaluating individual performance, we must also ask the question: Do the interests of our organization still match, in this specific instance,

the individual talent and are we still aiming for a professorship? If the estimation before the advancement to Adjunct Professor indicates that this is the highest achievable level and that the candidate probably will not advance to Professor 2, then the Tenure Track should stop in the Senior Lecturer 2 phase. It is also important that an interview takes place regarding the match between the candidate's ambitions and the career perspectives that the UT can offer.

In light of these proposals, four critical moments exist in the Tenure Track process:

- The intake/selection phase
- Going from temporary to permanent contract
- Promotion to Adjunct Professor
- Promotion to Professor 2

For an overview of the career path as it is described above, see appendix 4.

## 5.2 Conclusion and recommendations regarding embedding and the Tenure Tracker in academia

> 7.  The embedding of the Tenure Tracker will be locally determined (within the Faculty)
> 8.  Give every Tenure Tracker the opportunity to have a mentor as independent sparring partner.
> 9.  Develop new guidance principles/materials for Tenure Trackers and their supervisors. **(new)**

*Embedding*

The committee advises the embedding of the Tenure Tracker to be locally determined, within the Faculty. A Tenure Tracker whose goal is to become the successor in one of the key positions, can be embedded within existing structures. For Tenure Trackers who fall outside of the existing academic chairs, it is essential that the role of hierarchical supervisor is carefully established. The hierarchical supervisor will set performance goals and agreements with the Tenure Tracker. The supervisor will then formally monitor their performance, give recommendations and will report to the Tenure Track committee. The hierarchical supervisor may delegate some of these responsibilities to a functional supervisor but supervisorial responsibility always remains with the hierarchical supervisor. The functional supervisor will be the third person consulted by the Tenure Track committee, for example as a referent. The Dean will be responsible to ensure that both roles are defined well and that someone is appointed responsibility for the Tenure Trackers. Basic principles: Sufficient independence for Tenure Trackers; good embedding in the department, clarity regarding managerial responsibilities, deliberation regarding the role of the Dean (balance between line management responsibilities and his/her role as chairperson in the Tenure Track committee).

The fact that it can be restrictive to embed a Tenure Tracker in an academic Chair is not a structural problem. We would like talented individuals in every part of the organization to be supported and receive sufficient freedom. The committee recommends that every Tenure Tracker should be able to consult a mentor as independent sparring partner.

*Support for the Supervisors of Tenure Trackers*

The committee also advises to invest in the people in supervisorial positions over Tenure Trackers. They are "partners in crime" in achieving the following step of advancement. In their role, they steer and facilitate the results and development of Tenure Trackers.

**5.3 Conclusion and recommendations regarding evaluation of promotion**

10. Derive agreements made in the yearly cycle of interviews from individual performance agreements.
11. Include the supervisor in the process of establishing individual performance agreements so that there is a parallel course from the beginning.
12. Make performance agreements based on output (work results) AND behaviour. Use the leadership profile for Tenure Trackers in this process. **(new)**
13. Give the direct supervisor of the Tenure Tracker a formal role in the evaluation/promotion process of the Tenure Tracker. (**new**)
14. Introduce 360-feedback in preparation for the evaluation of the Tenure Tracker, for each phase.

Each Tenure Tracker will have an individual set of performance agreements. These agreements consist of both concrete quantifiable basic agreements about output, and transcendent characteristics (behaviour) of the Tenure Tracker. Quantifiable basic agreements could include subjects such as publishing, projects to be obtained, education/teaching, organization, etc., translated to discipline and individual performance agreements. Performance agreements in relation to transcendent characteristics (behaviour) of the Tenure Tracker are qualitative agreements over areas such as leadership, vision and visibility. The basis is always the question: Can we see the qualities necessary to become a Professor 2 in the behaviour of this Tenure Tracker.

This requires us to:

a. Look for this potential in the selection phase (and also to identify this)
b. Communicate well (in the intake and throughout the process) with the Tenure Tracker and his/her supervisor/coach about these topics.
c. Ensure the supervisor guides the Tenure Tracker well
d. Explicitly keep these criteria on the table during interim evaluations by both the Tenure Track committee and the supervisor.

The daily direction and the agreements made in the cycle of yearly evaluation interviews will be guided by these performance agreements. The goal of this is to translate the long-term performance agreements into short-term agreements on a yearly basis so the Tenure Tracker stays on course, gains insight and that connections grow between the individual goals of the Tenure Tracker and those of the group/organization as a whole.

The evaluation committee confirms that education and teaching are also part of the individual performance agreements of each Tenure Tracker. With regard to the balance between research and educational performance, the committee states that although education is not yet included in the goals of the Tenure Track, the Tenure Track criteria offer enough links to make educational performance a concrete part of each Tenure Track phase. In the criteria guidelines there are

requirements regarding research, education and organizational tasks. When trying to maintain the balance between education and research we should not look for a solution in adjusting criteria. It is more important to find an alignment in the educational and research effort, the individual "agenda" of the Tenure Tracker and those of the group/department over both the short and long term.

The Tenure Track committee will always hear the Tenure Tracker's supervisor. The supervisor will be included in the establishment of the individual performance agreements so that there is a parallel path from the beginning. The Tenure Tracker and his/her supervisor will evaluate the realization and support of this path throughout his/her daily work and the yearly evaluation interview cycle. In the case that the Tenure Tracker does not receive daily, functional guidance from the hierarchical supervisor, then the functional supervisor will be the one to report.

The individual performance agreements for promotion will not only cover output, but also the transcendent characteristics. When making agreements we will use the leadership profile for Tenure Trackers (see appendix 3). We will introduce 360-feedback in preparation for the evaluation of the Tenure Tracker per phase.

In line with current policy, the faculty Tenure Track committee will advise the Dean regarding promotion. The Dean will decide whether to promote to the next phase. If the Dean cannot reach a decision, it will be possible to go higher up, via the regular lines to the Rector. The Rector and the Dean will then corroborate to reach a decision regarding promotion. If desired, the Board of Promotions can be consulted. The individual file will be presented and discussed by the Board of Promotions. The Board will advise the Rector and the Dean.

**5.4 Conclusion and recommendations regarding selection when recruiting Tenure Trackers**

Re-confirmation: Although a corrective measure was taken in the past, which made it possible to internally flow (non-recurring) into a Tenure Track position, regular Tenure Track positions will be recruited for open and internationally.

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| 15. | Keep the intake criteria (UD2/lecturer 2) |
| 16. | Use selection assessment in the selection process **(new)** |

The evaluation committee believes that the intake criteria (UD2/ lecturer 2) should be kept. The criteria express the added value (high potential in peer group) of the candidate. The behavioural criteria will now become more explicitly included in the overall criteria. The committee emphasizes that the bar should be set high at the beginning of the Tenure Track trajectory, i.e., in the selection phase of the recruitment of Tenure Trackers. The committee also emphasizes that an international profile is not only visible in experience abroad, but also in inclusivity and thinking outside of the box.

The Tenure Track criteria should also define the standard of quality for promotion outside the Tenure Track.

The committee recommends specifically selecting Tenure Trackers on the basis of their personal qualities. Therefore, the committee advises the use of selection assessment during the selection process.

**5.5 Conclusion and recommendations regarding start-up package**

17. Offer a specific and transparent package of support for all Tenure Trackers of any position within the UT. **(new)**
18. Make agreements regarding available facilities at the start of the Tenure Track.

Reasoning from the standpoint of the Tenure Track system, the evaluation committee advises giving each Tenure Tracker a start-up package. We recommend strongly that a research assistant be included. We believe this should be part of an exclusive track. The committee has not yet expressed advice regarding under which circumstances exceptions are possible.

Further, activities for development and growth should be available for all Tenure Trackers, no matter what their position is within the UT.

Suggestions for the start-up package:

- Personal budget for conferences/travel, etc.
- Participation in trainings, courses and individual supervision
- Encourage students of excellence to be coupled with Tenure Trackers
- Lab facilities
- Finances for use of abilities

With exception of the last point, these facilities for Tenure Trackers can be realised directly, without causing a direct impact on costs. The committee does, however, note that we do not always make up-front agreements with Tenure Trackers regarding available facilities, and give them access to allotted budget. The perspective of the UT should be to use available resources for the growth and development of young scientists and young scientific domains.

Depending upon the efforts of excellent students, the committee advises the faculty to encourage the coupling of excellent students with Tenure Trackers, whenever possible. How this should take place will be further determined with the faculties.

Making start-up packages possible in terms of giving finances for use of abilities is not possible to achieve UT-wide. Not every faculty has the same financial capacity, their room to manoeuvre differs and therefore this component can only be defined locally, within the faculty.

The main point is that when a Tenure Track position opens, the faculty reviews whether they have/can create the financial means to facilitate the Tenure Tracker well.

The committee notes that the success of Tenure Trackers is in part influenced by the availability of resources; these establish the quality of their results and improve the speed with which they achieve results. The committee recommends explicitly informing Tenure Trackers about the available facilities and to make agreements on this at the moment they are hired.

**5.6 Conclusion and recommendations regarding intake and supervision of Tenure Trackers**

19.   Create an intake for Tenure Trackers **(new)**
20.   Create a channel for communication specifically for Tenure Trackers. **(new)**
21.   Emphasize inviting Tenure Trackers to participate in relevant training programs and courses, per phase.

The committee advises the faculty to create an intake for Tenure Trackers. The goal is for Tenure Trackers to be well informed at the start of their trajectory, regarding the manner in which they will be evaluated, and obtaining fitted advice on available development facilities. Tenure Trackers should also get specific information regarding what kind of preparation is expected of them from the faculty Tenure Track committee, when preparing for promotion. The HR advisor of each faculty is also the secretary of the faculty Tenure Track committee. The committee advises examining what role the HR advisors can play at the start of the Tenure Track regarding supplying Tenure Trackers with information and advice, in coordination with supervisors. In support of this advice, the committee recommends setting up a channel of communication specifically for Tenure Trackers.

The committee advises the HR department to invite Tenure Trackers to participate in relevant training programs and courses, per phase. A multi-year program is needed for Tenure Trackers. The supervisors of Tenure Trackers have also indicated a need for support and guidance. The committee advises HR to either develop new programs, or offer custom made advice for supervisors.

**5.7 Conclusion and recommendations regarding regulations**

22.   Create regulations for special circumstances. **(new)**

The committee advises HR to prepare regulations in accordance with the collective labour agreement. Extra attention should be paid to special circumstances.

It is recommended that the Tenure Track can be extended, within the legal parameters, in cases of care responsibilities. This is applicable to Tenure Trackers who need parental leave, maternity leave, or a combination of a part-time appointment with care responsibilities. The care must be regarding children (max. age 12) who are part of their household. In accordance to article 6.5a and article 2.2a section 4 of the collective labour agreement, an appointment of a Tenure Tracker, as stated in article 2.2a, can only be extended for three months. In the case that this amount of time is not sufficient for parental leave, maternity leave, filial leave, and the organization wishes to accommodate the Tenure Tracker, then extension is only possible by means of permanent employment.

**5.8 Conclusion and recommendation regarding Up or out: what should we do next?**

<table>
<tr><td>23.</td><td>Following a negative evaluation, offer six months of support in the search for a new position. **(new)**</td></tr>
<tr><td>24.</td><td>Schedule the evaluation before the transition from temporary to permanent appointment a minimum of six months in advance. **(new)**</td></tr>
<tr><td>25.</td><td>Adjust appointment and promotion letters in accordance with new policy as stated above.</td></tr>
<tr><td>26.</td><td>Register the reason for exiting the Tenure Track in the personnel system. **(new)**</td></tr>
</table>

As mentioned in Recommendation 6, the committee advises keeping the up-or-out principle, up to the point of Adjunct Professor (UHD1 + PhD rights). The Tenure Track has high standards, but offers an exceptional perspective, that of Professor. Assuming that the Tenure positions open in places where we want to select on the basis of talent, the consequence is that we have to let Tenure Trackers go when they do not live up to the performance agreements that have been made. That does not mean that these people are not valuable to the organization, but that we want to fill that position with another goal and therefore want/need to create space for new influx. Up to the promotional step of Adjunct professor, the up or out principle will remain. This principle applies to Tenure Trackers with a temporary appointment, for both internal candidates and candidates coming in from outside the UT.

We adhere to a careful evaluation in these situations. Negative evaluation cannot be a surprise and must be based upon previously formulated performance agreements. After a negative evaluation, the UT will offer necessary facilities for a period of six months to support in the search for a new position.

The evaluation, which precedes the transition from a temporary to a permanent appointment, will be planned at least six months in advance.

The committee advises incorporating this adjusted policy into the letters of appointment and promotion for the Tenure Trackers, to add this information in the implementation of a channel of communication for Tenure Trackers and to provide insight regarding the possible facilities that could be utilized in searching for new work.

To gain insight regarding the reasons that people exit the Tenure Track, the committee advises registering the reason for exit.

**5.9 Conclusion and recommendation regarding the construction of Tenure Track Committees and the use of peers**

<table>
<tr><td>27.</td><td>Research as to determine whether a central Tenure Track is preferred over a faculty Tenure Track **(new)**</td></tr>
<tr><td>28.</td><td>Use peers from within specific domains of the Tenure Track via 360 feedback and/or</td></tr>
</table>

as a reference in preparation for evaluation.

The Tenure Track evaluation committee suggests that a central Tenure Track committee can perform the evaluation of Tenure Trackers. If the number of Tenure Trackers is limited, it could be an option that the dean proposes an evaluation and the central Tenure Track committee would then decide. More thought is still needed on this topic before sound advice can be offered.

The committee believes that peers from the same domain can be an important source of information. The committee advises to structurally collect this information before the evaluation of the Tenure Tracker. For example via 360 feedback or by asking for references. This last practice is quite common. The committee does not believe that peers should play a formal role in the judgment process of the Tenure Track committee.

**5.10 Conclusion and recommendations regarding the significance of the above conclusions and recommendations for current Tenure Trackers**

29. Redirect interim performance agreements where necessary, and make aligning agreements regarding necessary facilities.
30. Implement new regulations regarding special circumstance for the entire target group. **(new)**

The nature of the Tenure Track and the goals we wish to achieve will not change. The proposed changes are meant to tighten implementation and increase transparency regarding this implementation. Our goals regarding the Tenure Trackers and their supervisors include:

- To have the Tenure Tracker be well informed regarding procedures and rules at his/her introduction into the program
- To be sure that each Tenure Tracker has a set of individual, personal performance agreements within three months of starting (a new position).
- To make concrete agreements regarding necessary facilities
- To inform Tenure Trackers and supervisors regarding relevant development activities
- To ensure that he/she knows exactly what to do to prepare for the evaluation by the faculty Tenure Track committee.
- To create a good, easily accessible channel of communication that contains specific information for Tenure Trackers.

Tenure Trackers will be evaluated based on performance agreements made in advance. After each step of evaluation, new individual performance agreements will be made, which will in turn serve as evaluation points for promotion to the next level. No adjustments in the criteria will be made on the basis of the evaluation. In that sense, the "bar" for the evaluation will not be changed. However, the committee notes that few agreements have been made in regard to behaviour and the development of personal qualities. When new performance agreements are made prior to an upcoming evaluation, it will be necessary to give these more attention. This is also applicable to agreements in the annual interview cycle.

As a result of the evaluation, there will be a proposal discussing how to handle special situations such as maternity leave and care responsibilities. As soon as these regulations are established for every Tenure Tracker, new and existing, they will become effective from the time of the decision.

**5.11 Conclusion and recommendation regarding the goals of the Tenure Track**

| | |
|---|---|
| 31. | We will achieve our goals and we see room for improvement. |
| 32. | Explicitly incorporate education into the goals of the Tenure Track. **(new)** |

The goals of the Tenure Track are:

- To be appealing as a university, offer opportunities to talented scientists
- To offer innovation in research and increase quality (company results)
- To stimulate internal growth: key positions will be trained for and filled internally.
- To increase mobility (internal and external)

Based on the evaluation, the committee concludes that the goals we set are realised, but there is room for improvement. The Tenure Track as a system is not up for discussion as a result of the evaluation.

The evaluation committee advises to specifically include education in the goals of the Tenure Track from now on.

With regard to the appeal of the university, there is a clear image of the Tenure Track appealing to young scientists and that the guarantee of promotion with successful performance is essential herein. With regard to increasing innovation and quality, we know that Tenure Trackers experience the track as a stimulant to achieving their goals. The effects of the Tenure Track seem to include that key positions are more often filled by Tenure Trackers, and that promotion outside the track decreases. These are expected and desirable effects, although at this time due to the limited scope, we cannot create a long-term image of this trend based on figures. The pace of progression lies higher within the Tenure Track than outside of it.

**5.12 The recommendations summarized**

**Strategic Planning of the Tenure Track Positions**

1. Create domain plans in such a way that enough information is available to make accurate estimates regarding the desired number of Tenure Trackers. **(new)**
2. Highlight the budgets for the Tenure Track positions in the long-term budget when these are not structurally included in the flow of funds/fixed formation. **(new)**
3. Evaluate the size and scope of the composition of faculties/domains and the expected flow (in, through and out) within them, before creating a Tenure Track vacancy. **(new)**
4. Do not maintain the principle that every SP-vacancy must be a Tenure Track position. **(new)**
5. The final station of the Tenure Track should remain Professor 2.

6. The up or out principle applies to Lecturer 1 and 2, and Senior Lecturer 2. Starting with Adjunct Professor (Senior Lecturer 1 on PhD track), the up or out principle no longer applies. **(new)**

**Embedding the Tenure Tracker in the Department**

7. The embedding of the Tenure Tracker will be locally determined (within the Faculty)
8. Give every Tenure Tracker the opportunity to have a mentor as independent sparring partner.
9. Develop new guidance principles/materials for Tenure Trackers and their supervisors. **(new)**

**Evaluating the Promotion**

10. Derive agreements made in the yearly cycle of interviews from individual performance agreements.
11. Include the supervisor in the process of establishing individual performance agreements so that there is a parallel course from the beginning.
12. Make performance agreements based on output (work results) AND behaviour. Use the leadership profile for Tenure Trackers in this process. **(new)**
13. Give the direct supervisor of the Tenure Tracker a formal role in the evaluation/promotion process of the Tenure Tracker. (**new**)
14. Introduce 360-feedback in preparation for the evaluation of the Tenure Tracker, for each phase.

**Selection at Recruitment of Tenure Trackers**

15. Keep the intake criteria (UD2/lecturer 2)
16. Use selection assessment in the selection process **(new)**

**Start up Package**

17. Offer a specific and transparent package of support for all Tenure Trackers of any position within the UT. (new)
18. Make agreements regarding available facilities at the start of the Tenure Track.

**Intake and Supervising Tenure Trackers**

19. Create an intake for Tenure Trackers **(new)**
20. Create a channel for communication specifically for Tenure Trackers. **(new)**
21. Emphasize inviting Tenure Trackers to participate in relevant training programs and courses, per phase.

**Regulations**

22. Create regulations for special circumstances. **(new)**

**Up or Out: What Should We Do?**

23. Following a negative evaluation, offer six months of support in the search for a new position. **(new)**
24. Schedule the evaluation before the transition from temporary to permanent appointment a minimum of six months in advance. **(new)**
25. Adjust appointment and promotion letters in accordance with new policy as stated above.
26. Register the reason for exiting the Tenure Track in the personnel system. **(new)**

**Composition of Tenure Track Committees and the Use of Peers**

27. Research as to determine whether a central Tenure Track is preferred over a faculty Tenure Track **(new)**
28. Use peers from within specific domains of the Tenure Track via 360 feedback and/or as a reference in preparation for evaluation.

**Significance of the Above Conclusions and Recommendations for Current Tenure Tracker**

29. Redirect interim performance agreements where necessary, and make aligning agreements regarding necessary facilities.
30. Implement new regulations regarding special circumstance for the entire target group. **(new)**

**Goals of the Tenure Track**

31. We will achieve our goals and we see room for improvement.
32. Explicitly incorporate education into the goals of the Tenure Track. **(new)**

# Appendix 3:
# Leadership Profile for Tenure Trackers

| Role | Assistant | Associate |
|---|---|---|
| **Expert** | Analytical capacity → <br><br> Result orientation → | Conceptual capacity <br><br> Steering on results <br><br><br> Persuasiveness |
| **Networker** | Networking → <br><br> Surroundings orientation → | Entrepreneurship <br><br> Organizational sensitivity <br><br><br> Negotiating |
| **(Personal) Leadership** | Collaborating → <br><br><br> Coaching <br> Flexibility | Collaborative leadership <br><br><br> Decisiveness |
| **Visionair** | Inventive → | Vision |
| | Impact <br><br><br> Self reflection | Impact <br><br><br> Self reflection |

→ Development from Assistant to Associate

# Appendix 4: Career path of the Tenure Tracker

Tenure Track
"standard" TT influx UD-2 once only employment 6 year
Turnaround phases are indicative

**Phase 1: UD-2 (+/- 2,5 Years)**

1. Appointment assistent prof./UD-2

2. Review Phase 1 — NO → 3. Start Placement

YES

**Phase 2: UD-1 (+/- 2,5 Years)**

4. Promotion assistent prof./UD-1

5. Review Phase 2 — NO → 6. Start Placement

After 5 / 5 1/2 Years

YES

**Phase 3: UHD-2 (+/- 2 Years)**

7. Promotion associate prof./ UHD-2

8. Review Phase 3 — NO → 9. Start Placement

YES

**Phase 4: UHD-1/Adj. HGL (2-4 Years)**

10. Promotion associate prof./ Adj. HGL

11. Review Phase 4 — NO → 12. End of Tenure Track & Conservation employment

YES

**Phase 5: HGL-2**

13. Nomination full prof./ HGL-2

TEMPORARY EMPLOYMENT

FIXED