


Policy Owner:	Provost			<div><div>جامعة حمد بن خليفة HAMAD BIN KHALIFA UNIVERSITY</div><div></div><div>عضو في المؤسسة قطر Member of Qatar Foundation</div></div>
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## FACULTY PROMOTION POLICY

Ver.	Approval Date	Effective Date	Type of Change	Approved by	Description of Change
00	8 May 2017	8 May 2017	Initial Release	<b>BOT</b>	
01	10 Jan 2024	10 Jan 2024	Major revisions	<b>President</b>	<ul style="list-style-type: none"> <li>- Eliminate need for dependent assessors,</li> <li>- Change effective date,</li> <li>- Change promotion rating to 4-levels rating,</li> <li>- Add time limit to appeal the decision.</li> </ul>

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## 1. Purpose

Attracting, inspiring, and retaining talent is at the core of HBKU. This policy governs the faculty promotion requirements and process.

## 2. Scope

The policy applies to all faculty members.

## 3. Terms, Abbreviations, and Definitions,

Term/Abbreviation	Definition
College Promotion and Appointment Committee	A committee appointed by the Dean for review and making recommendations regarding college promotion cases
University Promotion and Appointment Committee	A committee appointed by the Provost to advise him/her or promotion cases forwarded by colleges

## 4. Policy

### 4.1. Recognition of Past Achievement.

The rank of a newly appointed faculty member is determined at the time of appointment. Subsequent lateral appointments depend on the candidate's achievement.

### 4.2. Length of Service Criteria.

- 4.2.1. A faculty member shall serve a minimum period of service at the rank of Assistant Professor/Associate Professor before he/she is considered for promotion to the rank of Associate Professor/Professor. The minimum period of service is five years including those spent outside HBKU. However, deviation from the five-year minimum period may be considered based on academic discipline norms.
- 4.2.2. The minimum length of service/residence years at HBKU must not be less than three years before a candidate is considered for promotion irrespective of prior years of service.
- 4.2.3. In exceptional cases, the minimum residence period at HBKU or the minimum period of service for promotion may be reduced or increased upon endorsement by the Provost and approval by the President

### 4.3. Mandatory Promotion.

- 4.3.1. Assistant Professors shall apply for promotion to the rank of Associate Professor upon completing the minimum period of service of five years at the Assistant Professor rank and the minimum length of service/residence years at HBKU.
- 4.3.2. A candidate who submitted a promotion application before the minimum period of service of 5 years and was not successful will be allowed to submit his/her promotion application again in due time without alteration to the faculty member's contract.
- 4.3.3. A candidate at the rank of Assistant Professor who submitted a promotion application in due time and was not successful may be allowed to submit in the next cycle or be extended for a period of one year to make plans for next steps in his/her career with approval of the Provost. If the second attempt was not successful, the faculty will receive a terminal contract for one year. An eighth year of service at HBKU at the rank of Assistant Professor without promotion is considered the terminal year under all circumstances.

### 4.4. Promotion Review Timeline.

- 4.4.1. The timelines for the promotion review process shall be as announced by the Provost Office at the beginning of each academic year. A typical schedule is as follows:

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1 <sup>st</sup> week in October	Deadline for faculty members to apply to the Dean. The review dossier with information as specified in the relevant review guidelines shall be submitted to the Dean at the same time together with the application. A copy of the covering memo transmitting the application and the dossier is to be sent by the applicant to the Dean and the Provost at the same time for record.
1 <sup>st</sup> week in February	College Promotion and Appointment Committee to complete review and submit its recommendation report to the Dean
1 <sup>st</sup> week in March	Dean to complete review and submit his/her own recommendation to the Provost together with the review reports of the College Committee
Mid-April	The University Promotion and Appointment Committee to complete review and submit its recommendation to the Provost.
May/June	Provost to inform the applicant the outcome of the review
Start of next Regular Academic Semester	Effective date of promotion and appointment in the new rank for promoted faculty

#### 4.5. Promotion Criteria.

4.5.1. Promotion criteria to the rank of Associate Professor is based upon successful evidence that the faculty candidate has made significant contributions in the quality and quantity of research, teaching, and service, and shows likelihood of sustaining these contributions. Promotion to Associate Professor at HBKU is a major milestone and will require internal and external review supporting evidence of the candidate's:

- Establishment of an independent research portfolio that demonstrates focus, excellence, potential for impact, international visibility, and a trajectory to attain international recognition.
- Demonstrated effectiveness in teaching and student advising, including documentation of the rigor of the courses taught and the student evaluations of those courses; and
- An appropriate level of service to both the institution and the professional discipline.

4.5.2. Promotion from Associate to full Professor is another major milestone in one's academic career. Faculty members must demonstrate leadership through significant accomplishments, recognition, and scholarly contributions to their discipline; that they have reached high levels of teaching excellence; and have engaged in university governance or service to one's profession. A candidate must successfully pass internal and external reviews that document the following:

- Sustained distinguished research program that has been recognized internationally for its impact and has clearly attained substantial international recognition and significant contributions to the field or profession, including:
  - Evidence of the quality and impact of research achievements on the discipline as well as HBKU mission.
  - Evidence of international status of the research program and international recognition by peers.
  - Evidence of creative and independent thinking and the ability to identify and engage in new areas of research. Also, the ability to sustain a research program and to extend its trajectory toward further growth and greater accomplishments through proactively seeking funding and starting/leading visionary initiatives.
- Sustained, successful teaching and student advising program, including documentation

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of the accomplishments of students under the faculty members' supervision, curriculum development, the rigor of the courses taught and the student evaluations of those courses; and

- Exemplary level of service to both the institution and the discipline, including leadership activities within the discipline.

#### 4.6. Promotion Rating and Evaluation.

- 4.6.1. The faculty member's achievements and contributions will be assessed in research, teaching and service. The weighting for each of these areas depends on the duties assigned to the faculty and his/her appointment contract.
- 4.6.2. Areas of teaching, research and service will be evaluated using the rating criteria of Excellent, Very Good, Good, and Unsatisfactory.

#### 4.7. Promotion Dossier

- 4.7.1. The promotion applicant must submit a dossier containing the following. A faculty member may submit additional documents. The Dean will determine whether these additional documents are relevant to the promotion dossier. If they are deemed relevant, they will be included in a separate section.

- **Curriculum Vitae:** The CV submitted as part of the dossier will be used throughout the promotion process. It will be sent to internal and external assessors and will be included in the dossier forwarded to the College as well as the University promotion committees. It is the applicant's responsibility to make sure that the information reported in the CV is accurate. Any inaccurate statements in the CV may lead to disqualification of the candidate. For example, the status of a submitted paper must be reported accurately using: (i) submitted, (ii) minor revision, (iii) major.
- **Statement of Research (Not to exceed five pages):** For promotions to Associate Professor, the statement on research should provide an overview that summarizes all major research activities undertaken as well as research achievements and awards if any during the candidate's time as an independent investigator and emphasizing activities accomplished since joining HBKU.

For promotions to the Professor rank, the statement on research should provide an overview that summarizes all major research activities undertaken since the time of the promotion to Associate Professor as well as any evidence of international recognition and impact. Emphasis should be placed on activities while at HBKU. This statement should detail the rationale for the research directions pursued by the faculty member and how research achievements fit in the context of the area of research. Future research should also be briefly described in the document including future plan for the research focus and for expanding the research team. The statement should also describe the participation of students in research, where relevant.

- **Teaching Portfolio:** The teaching portfolio should contain the following information:
  - A teaching statement that explains the faculty member's teaching style, philosophy and approach, and any significant teaching contributions while at HBKU.
  - All teaching evaluation summaries since the last successful promotion or appointment to HBKU.
  - Evidence of teaching excellence including tangible achievements, awards, students' feedback on teaching; etc.
  - Record of students' supervision at the undergraduate, Master and PhD levels. If students have already graduated then their achievements and placements after graduation (current employers of Master and PhD graduates) should be included when available.

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- **Nomination of Independent Assessors:** The applicant is required to include in his dossier the name of 5 Independent assessors with whom the candidate has no real or perceived conflict of interest. The applicant may also submit a list of individuals who may not be selected as external independent assessors as they may not provide an objective review. If the candidate does submit such a list, he/she should state the nature of conflict with an explanation as to why such individual should be disqualified as an external assessor.

**A. Choice of Assessors:** Potential independent assessors should be identified following these criteria:

- Preferably from academia and with whom the candidate has had minimal or no interactions. Candidates to exclude would include PhD or Post-doc supervisor, a manager/colleague in a previous institution, collaborator, Co-author or Co-investigator in a project. However, co-editor in a journal or co-chair in a conference, editor handling the applicant's papers, etc. would all be acceptable.
- Senior faculty members with international stature, at or above the rank being considered for promotion.
- When possible, from top-tier institutions in the field.

**B. Information submission of Proposed Assessors:** The Faculty member should provide the following information on each proposed independent assessor. The candidate must not contact any of these individuals:

- Name, title, and current position.
- Postal and Email Address.
- One Paragraph Biography.
- Description of any potential or perceived Conflict of Interest

- **Citation Information:** Citation information and citation indexes should be generated and reported in the CV. Information such as total citation, h-index, i-10 index should be clearly reported, preferably using both Scopus and Google Scholar. It is strongly recommended that the applicant creates a profile on Google Scholar which is included in the CV and summarizes all citations profile of the applicant.
- **Five Sample Publications:** The Dossier should contain five peer-reviewed original publications deemed by the candidate to best reflect his/her research accomplishments. Each College will also have its own guidelines regarding the nature of the selected publication or scholarly refereed research work. The selected material should:
  - Be published since the last promotion.
  - Include publications for which the faculty member is the main contributor in case of multiple authors on at least 3 of the sample publications. The main contributor status should be justified by the candidate and acceptable by the College.
  - Papers that are under review should not be included, but papers that are accepted or in press may be used.

#### 4.8. Committees.

- 4.8.1. Participation in evaluation and decision related to promotion shall be limited to faculty members whose academic rank is higher than the candidate's. Program coordinators/Deans are excluded from this requirement whenever a case of one of their own program/college is evaluated. Faculty members serving in their terminal year of a contract are ineligible for appointment to a promotion committee.
- 4.8.2. **College Promotion and Appointment Committee (CPAC):** At the beginning of academic year, each Dean shall appoint a College Promotion and Appointment Committee consisting of a minimum of three members. All divisions/programs should nominate a faculty member

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at the rank of professor. Members serve staggered two-year terms. The terms are renewable. At least one committee member must be at the rank of Professor. In the event there is no faculty at the rank of a professor in the college, another member within HBKU or outside HBKU shall be invited to serve on the committee.

- 4.8.3. **University Promotion and Appointment Committee (UPAC):** At the beginning of academic year the Provost appoints a University Promotion and Appointment Committee for two year staggered terms. The committee consists of a chair and representatives for each of HBKU colleges at the rank of Professor excluding Deans and College Promotion and Appointment Committee members. The terms are renewable. In the event that there is no faculty at the rank of a professor in a college, another member within HBKU or outside HBKU shall be invited to serve on the committee.

#### 4.9. Confidentiality.

All proceedings in the promotion review must be treated in strict confidence. Violations of confidentiality by persons involved in the promotion reviews will be regarded by the University as a serious breach of professional ethics, and such person will be subject to appropriate sanctions.

#### 4.10. Conflict of Interest.

- 4.10.1. A member of any promotion review committee shall declare conflict of interest in writing to the chair of the committee and abstain from serving on the committee if the candidate being considered is his/her relative, close acquaintance, a former student or a close collaborator.
- 4.10.2. A candidate may submit to the Dean/Provost a request to disqualify a committee member from reviewing his/her promotion application on the basis of conflict of interest. The request should provide a brief statement explaining why the committee member should be disqualified. The Dean/Provost will notify the candidate of his/her decision regarding the request within a week of the submitted request. The Dean should include the request and the decision in the candidate's dossier that is forwarded to the Provost.

#### 4.11. Review Process.

- 4.11.1. Candidates shall meet with the Dean ahead of the promotion submission deadline (preferably no later than May preceding the submission deadline) to discuss their intention to apply for promotion and to review the promotion criteria.
- 4.11.2. The candidate submits a detailed promotion dossier by the University established deadline. Along with the promotion dossier, the candidate should submit a signed memo requesting promotion consideration and a certification indicating that the promotion dossier is complete and includes a list of five independent assessors. Such certification should be communicated to the Dean and the Provost for the record.
- 4.11.3. The Dean will confirm the receipt of the dossier, will review the dossier for completeness and compliance with the policy, and will either disqualify or certify the dossier.
- 4.11.4. Late and incomplete submissions will be disqualified in writing by the Dean. The memo should include the reasons for the disqualification.
- 4.11.5. Once a promotion dossier is certified by the Dean, no additional material shall be included except the external review reports or other due process materials. Other new relevant promotion application related material provided by the candidate may only be included following approval by the Dean following consultation and endorsement by the College Promotion and Appointment Committee.
- 4.11.6. The Dean forwards the dossier to the College Promotion and Appointment Committee no later than a week from the dossier certification date.

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- 4.11.7. The committee compiles a list of five independent external assessors that may or may not include independent assessors nominated by the candidate and passes it to the Dean for approval. The committee should avoid real or perceived conflict of interest when nominating external assessors. The external assessors must be at the rank of Professor from leading institutions.
- 4.11.8. The Dean may amend the list of independent assessors or ask the committee to add more potential assessors. Amendments must be justified.
- 4.11.9. The Dean will send all promotion review requests to assessors. The requested assessment letter will be sent together with the documents listed below. Additional material may be sent as deemed appropriate by the Dean and the College Promotion and Appointment Committee.
  - a. Applicant's CV.
  - b. Applicant's research statement.
  - c. Applicant's teaching statement.
  - d. Applicant's five sample publications or selected scholarly refereed research work.
- 4.11.10. The College Promotion and Appointment Committee may request additional information from assessors, as deemed appropriate if a submitted report is ambiguous or vague. They may seek, through the Dean, additional assessors' input if deemed necessary.
- 4.11.11. Copies of all communication with assessors should be included in the dossier.
- 4.11.12. A minimum of three independent assessment reports are required for each promotion dossier before initiating the College level Committee review of the dossier.
- 4.11.13. Once the assessment reports are received, the College Promotion and Appointment Committee will convene and make its recommendation based on all information in the dossier. If a consensus is not reached, the committee will need to vote in secret ballot. The results of the vote must be communicated in the summary report to the Dean. The summary report should address the contribution to teaching, research and service. A minority of the vote may report to the Dean the basis of their vote and shall be included in the report to the Dean.
- 4.11.14. The full dossier along with the College Promotion and Appointment Committee summary report shall be submitted to the Dean by the deadline established by the University.
- 4.11.15. The Dean shall evaluate the dossier, make a recommendation and submit his report to the Provost who will pass it to the University Promotion and Appointment Committee by the deadline established by the University.
- 4.11.16. The University Promotion and Appointment Committee will convene and review all promotion dossiers and make recommendations to the Provost. If a consensus is not obtained through discussion, the committee will need to vote in secret ballots. The results of the vote will be communicated in the summary recommendation and communicated to the Provost. The minority may submit a separate statement explaining their position. The statement must be included in the dossier. The report should address contributions in teaching, research and service.
- 4.11.17. The Provost shall make recommendation to the President who will be the final decision-making authority for all promotion cases.
- 4.11.18. Successful Candidates will be informed of the President's decision via letter from the President or the Provost.
- 4.11.19. In the case of a negative decision, the Provost shall convey the decision of the review by letter to the applicant, which will be passed on to Dean. The Dean shall deliver the letter to the applicant in person and have a discussion with the applicant on both positive and negative aspects of the case and any implications resulting from the negative decision.



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#### 4.12. Applicants Serving on Administrative Positions.

4.12.1. If a candidate for promotion is serving as a Dean, his/her promotion file should be submitted to the Office of the Provost who will task an ad hoc committee to take responsibility of the College Promotion and Appointment Committee. The Chair of the ad hoc committee will take the responsibility of the Dean.

4.12.2. Individuals serving at higher University management (e.g., President, Provost, Vice President, Associate Provost) are not allowed to apply for promotion while in Office.

#### 4.13. Appeal.

4.13.1. A candidate may lodge an appeal of unsuccessful promotion on the grounds of material irregularity in the process. The appeal should be directed to the Provost within 10 working days of the candidate being notified of their unsuccessful promotion.

4.13.2. The Provost may establish a Promotion Appeal Committee and submit the appeal to the Committee to evaluate the grounds for the appeal and make recommendations to the Provost.

4.13.3. The Provost may (a) accept the appeal, (b) accept the appeal and ask for reevaluation of the case taking into consideration the evidence raised in the appeal, (c) reject the appeal.

4.13.4. The Provost shall make recommendation to the President who shall make the final decision regarding the appeal.

#### 4.14. Implementation of Promotion

The promotion will become effective at the start of the full regular academic semester that follows the promotion decision. At that time, a salary reflecting the promotion will be effective and the faculty contract will be adjusted to reflect the new title and the contract will be extended accordingly.

### 5. Associated Guidelines, Forms, Templates, and other Supporting Documents

NA

### 6. References and Related Procedures

NA

### 7. Source, Responsible Office, Authority

This policy and accompanying procedures was revised by the Office of the Provost, reviewed by the University Academic Programs and Studies Committee, endorsed by the Provost and the University Policy Officer, and approved by the President.

This policy assigns the implementation of this process to the HBKU Provost in collaboration with appropriate College Deans and Committees.