

Hamad Bin Khalifa University					
Office of the Vice-President - Research					
Research Promotion Policy					
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RESEARCH PROMOTION POLICY

RECORD OF AMENDMENTS

This is a record of changes made to this document.

Rev	Approval Date	Document ID Code	Type of Change	Description of Change
00	June 29, 2022	RE AA.01.001	Initial release	

PURPOSE

The purpose of this Policy is to establish and document the process of promoting members of the research staff at HBKU Research Institutes and to identify the promotion requirements and the promotion timeline for promoting the researchers from Scientist rank to Senior Scientist and from Senior Scientist to Principal Scientist rank.

SCOPE

Research staff promotion is governed by the contributions the candidate has made and is expected to make to the excellence of the Research Institute, the advancement of the candidate's academic field, the quality of research and his/her contribution to the welfare of the Research Institutes and the community.

This policy applies to the below categories in the Research Institutes:

Scientist, Senior Scientist, Principal Scientist.

TERMS AND ABBREVIATIONS

Term	Definition
RI	Research Institute
ED	Executive Director
VP-R	Vice President-Research
HBKU HC	Hamad Bin Khalifa University- Human Capital
President	Hamad Bin Khalifa University President
HBKU	Hamad Bin Khalifa University
QEERI	Qatar Environment and Energy Research Institute
QBRI	Qatar Biomedical Research Institute
QCRI	Qatar Computing Research Institute
Primary Unit	In case of joint appointment, one of the units is designated as the Primary Unit.

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POLICY

The research staff promotion requests will be processed based on a set of criteria. These criteria consist of General Criteria (applicable to all ranks / Research Institutes), Promotion Criteria (specific for the promotion to a particular rank), and Specific Criteria (according to each Research Institute requirements).

GENERAL CRITERIA:

- A research staff shall serve a minimum period of service at the current rank before he/she is considered for promotion to the next rank.
- The minimum period of service at the current rank is five years including those spent outside HBKU. However, deviation from the five-year minimum period may be considered based on outstanding achievements.
- 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. 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 VP-R and approval by the President.
- For research staff on joint appointment, the Primary Unit where the researcher is appointed will be responsible for the promotion process in accordance with the promotion criteria and process of that unit. Other units must contribute by providing their feedback and recommendation via a memo from the appropriate supervisor and the unit head.

SPECIFIC CRITERIA:

In addition to the General Criteria and the Promotion Criteria, each Research Institute may have its own specific promotion criteria that may not be applicable to the other Research Institutes. The Specific Criteria must be endorsed by the VP-R and approved by the President before their adoption and application. The Specific Criteria must not conflict with or reduce the requirements set by the General Criteria and/or the relevant Promotion Criteria.

PROMOTION CRITERIA: SCIENTIST TO SENIOR SCIENTIST

Promotion Criteria from the rank of Scientist to Senior Scientist is based on successful evidence that the candidate has made significant contribution as detailed below in the areas of: (1) Research and Scholarship; (2) Impact; (3) Outreach and Engagement (service); and (4) Management, Leadership, and Teamwork. Specific evaluation rubrics must be developed to guide in the evaluation of the promotion criteria. The evaluation rubrics must be endorsed by the VP-R and approved by the President before being applied.

RESEARCH & SCHOLARSHIP

- Establishment of an international reputation in research and scholarship as evidenced by peer-reviewed scientific publications.
- Innovation activities, and patent applications.
- Ability to acquire and attract external funding and/or participate in value creation.

IMPACT

- Developing a reputation and recognition with key local and international stakeholders including government entities for translating research and scholarly output to end-user impact.
- Strong evidence of solving specific end-user problems through research and development.
- Ability to operate in a cross-disciplinary environment effectively and efficiently.

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OUTREACH & ENGAGEMENT (SERVICE)

- Demonstrated commitment to research training, mentorship, and technical service, internal and external to the Research Institute.
- Evidence of engagement with international or local stakeholders and service to the professional discipline.

MANAGEMENT, LEADERSHIP & TEAMWORK

- Show emerging leadership ability within the immediate group and beyond.
- Regular contribution to operational and strategic initiatives within the organization.
- Ability to conduct research and development as a member of a cohesive team, while showing flexibility, adaptability, entrepreneurship, and openness to innovation.

PROMOTION CRITERIA: SENIOR SCIENTIST TO PRINCIPAL SCIENTIST

Promotion from the rank of Senior Scientist to the rank of Principal Scientist is another major milestone. Promotion Criteria from the rank of Senior Scientist to Principal Scientist is based on successful evidence that the candidate has made substantial contribution as detailed below in the areas of: (1) Research and Scholarship; (2) Impact; (3) Outreach and Engagement (service); and (4) Management, Leadership, and Teamwork. Candidates for promotion to the rank of Principal Scientist must demonstrate leadership through significant accomplishments, recognition, and contributions to their discipline and profession. They must also demonstrate sustained distinguished research with clear impact and substantial recognition, in addition to significant contribution to the field or profession. Specific evaluation rubrics must be developed to guide in the evaluation of the Promotion Criteria. The evaluation rubrics must be endorsed by the VP-R and approved by the President before being applied.

RESEARCH & SCHOLARSHIP

- Has achieved and sustained outstanding and widely recognized international eminence and authority in their subject through the distinction of their research, publications, and leadership.
- Innovation activities, and patent applications.
- Sustained ability to acquire and attract external funding and/or participate in value creation.

IMPACT

- Established reputation and recognition with key local and international stakeholders including government entities for translating research, scholarly output, and development to end-user impact.
- Strong evidence of solving specific end-user problems through research and development.
- Defining research projects that are relevant to key stakeholders.
- Ability to operate in a cross-disciplinary environment effectively and efficiently.

OUTREACH & ENGAGEMENT (SERVICE)

- Demonstrated commitment to research training, mentorship, and technical service, internal and external to the Research Institutes.
- Building capacity by mentoring and developing junior researchers.
- Evidence of engagement with international or local stakeholders and service to the professional discipline.

MANAGEMENT, LEADERSHIP & TEAMWORK

- Demonstrate the ability to actively organize and manage activity in support of research, development, and training.

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- Show leadership ability within the immediate group and beyond.
- Regular contribution to operational and strategic initiatives within the organization.
- Ability to conduct research and development as a member of a cohesive team, while showing flexibility, adaptability, entrepreneurship, and openness to innovation.

PROMOTION COMMITTEES:

RI Promotion Committee:

At the beginning of the academic year, the Executive Director of each Research Institute shall appoint an RI Promotion Committee consisting of a minimum of five members for two-year staggered terms. The terms are renewable. The committee members must be at the rank of Principal Scientists or full professors. In the event there is no available Research Member at the rank of Principal Scientist, a Senior Scientist may be appointed to serve as a member of the committee. The Committee must include one external member at the level of Full Professor (from HBKU) and a Principal Scientist or Research Director (from another HBKU Research Institute).

Participation in evaluation and decision related to applications for promotion to the rank of Principal Scientist should be limited to committee members who are at the rank of Principal Scientists and/or full professors.

University Research Promotion Committee:

At the beginning of the academic year, the VP-R appoints a University Research Promotion Committee for two years staggered terms. The committee consists of a chair and representatives for each of the RIs at the rank of Principal Scientist or Full Professor, excluding the Internal RI Promotion Committee members. The terms are renewable. In the event there is no available member of the research staff at the rank of Principal Scientist, a Senior Scientist may be invited to serve as a member of the committee.

Participation in the evaluation of the promotion applications and decision related to applications for promotion to the rank of principal scientist should be limited to committee members who are at the rank of principal scientists and/or full professors.

PROMOTION APPLICATION FILE:

The promotion applicant must submit a promotion application file that includes the documents listed below. Additional documents may be required by each RI.

- **Curriculum Vitae:** The CV submitted as part of the application file will be used throughout the promotion process. It will be sent to internal, dependent, and independent assessors and will be included in the application file forwarded to the RI and the University Research 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.
- **Statement of Research** (Not to exceed five pages): The statement of research should provide evidence of international recognition and impact, an overview of all major research activities undertaken, and a summary of research achievements and awards. The statement should highlight achievements and activities undertaken since the time of the last promotion received. Emphasis should be placed on activities accomplished since joining HBKU and/or the Research Institute. The statement should detail the rationale for the research directions pursued by the research staff member and how research achievements fit in the context of the area of research. Future research should also be briefly described including the plan for the research focus and for expanding the research team.

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- **Evidence:** The candidate must provide evidence relevant to the promotion criteria identified in this policy and the Research Institute Specific Promotion criteria.
- **Performance Appraisal:** The candidate must include in the application file a copy of his/her detailed Performance Appraisal at HBKU for the last three years. Applicants who joined HBKU less than three years since the date of submission of their promotion application must include a copy of their detailed Performance Appraisal at HBKU for all years of residence at HBKU.
- **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.
- **Five Sample Publications:** The candidate must include in the application file a copy of five peer reviewed publications deemed by the candidate to best reflect his/her research achievements. These publications must have been published or accepted for publication after the last promotion. The applicant should be the main author in at least 3 out of the five selected publications.

EXTERNAL ASSESSORS:

- The promotion applicant should propose a list of candidate external assessors for consideration by the RI ED and the RI Promotion Committee.
- The RI ED in collaboration with the RI Promotion committee must compile a list of five candidate external assessors taking into consideration but without being bound by the list of candidates proposed by the applicant, if any. The ED must communicate the list of candidate external assessors to the VP-R for selection and approval.
- The Executive Director and the RI Committee should avoid any apparent or perceived conflict of interest when identifying external assessors.
- External assessors must be at the rank of Principal Scientist/Professor (well recognized in their field or from leading institutions).
- The list of external assessors must avoid former advisors, current collaborators on research or conference organization or edited books or conference proceedings.
- The VP-R may amend the list or ask the ED to add more potential assessors. Amendments must be justified.
- A minimum of three external assessor reports are required to complete the review of the promotion application.
- The list of candidate external assessors must be communicated to the promotion applicant who may indicate any persons for any reason that should be excluded from the list.
- The VP-R office will be responsible for communicating and sending review requests to external assessors approved by the VP-R.
- The University Research Promotion Committee may request additional information from the external assessors, as deemed appropriate, if a received external assessor report is ambiguous.
- The University Research Promotion Committee may suggest to the VP-R sending the application file to additional external assessors in case the committee believes additional reviews and feedback is needed to reach a decision.

MANDATORY PROMOTION:

Scientists shall apply for promotion to the next rank upon completing the minimum period of service at the current rank (five years). If the promotion was denied, the candidate shall be allowed a second attempt, no

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later than the next promotion cycle (six years of service). If the second attempt was not successful, the candidate will receive a terminal contract for one year. The eighth year of service without promotion is considered the terminal year under all circumstances.

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 conduct and ethics, and such persons will be subject to appropriate sanctions.

CONFLICT OF INTEREST:

1. A member of a promotion 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 co-researcher.
2. At the time of submission of the promotion application, a candidate may submit to the ED a request to disqualify a member of the RI and/or University Research promotion committee from reviewing his/her promotion application file on the basis of conflict of interest. The request should provide a brief statement on the nature of the conflict explaining why the committee member should be disqualified. In case of a request for removing a member of the RI committee, the ED will notify the candidate of his/her decision regarding the request within two weeks of the submitted request. The ED should include the request and the decision in the candidate's application file that is to be forwarded to the VP-R. In case of a request for removing a member of the University Research Promotion Committee, the ED will forward the request to the VP-R for decision following the ED approval of the promotion application and will notify the candidate of the VP-R decision regarding the request within two weeks after the ED approval of the promotion application.

The ED should include the request in the candidate's application file to be forwarded to the VP-R. The VP-R office will include the VP-R decision in the candidate's application file.

ANNUAL PROMOTION REVIEW CYCLE:

The First week in October will be the deadline for Research staff members to apply for promotion to the Executive Director through the Line Manager and/or the Center/Research Director.

Promotion Final Approval:

The final authority of the promotion approval remains with the President.

Promotion Effective Start Date:

The effective date of promotion and appointment in the new rank for the promoted researcher is the start of the new academic year.

APPEAL:

1. A candidate may lodge an appeal against an unsuccessful promotion within two weeks from the date of receiving the decision of the promotion request.
2. The appeal should be supported with substantial evidence and strong justification.
3. The appeal must be submitted to the VP-R in case the decision was reached at the RI level and to the President in case the decision was reached at the VP-R or the University level.
4. Decision on an appeal shall be communicated to the candidate within 30 days of submission of the appeal.

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5. In the case of an appeal submitted to the VP-R, the VP-R may:
 - a) Accept the appeal and ask for a reevaluation of the case taking into consideration any new evidence, then the VP-R shall make a recommendation to the President who shall make the final decision regarding the appeal.
 - b) Reject the appeal. If the appeal is rejected by the VP-R, the applicant may appeal to the President.
6. In the case of an appeal submitted to the President, the President may:
 - a) Accept the appeal and solicit feedback from the VP-R, RI, Promotion Committees, or other parties as deemed appropriate by the President, then make the final decision regarding the appeal and the promotion decision.
 - b) Reject the appeal. The President's decision is final, and the candidate may not pursue further appeals.

REFERENCES

HBKU Research Promotion Procedure