



## **AC-F-07.V01: FACULTY PROMOTION POLICY**





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**Date Endorsed by the Provost: 6 April 2017**

**Date Endorsed by the President: 20 April 2017**

**Date Approved by BOT: 8 May 2017**

**Effective Date: 8 May 2017**

**Last Updated:**

### 1. PURPOSE

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

### 2. POLICY DESCRIPTION

Faculty promotion is governed by the contributions the candidate has made and is expected to make to the excellence of the University, the advancement of the candidate's academic field, the quality of education, research and his/her contribution to the welfare of the University and the community. The promotion process plays a critical role in ensuring excellence at HBKU. Faculty are evaluated on research, teaching and service. It is the documentable impact of their accomplishment in these areas that determines the outcome of the promotion process.

#### 2.1 DEFINITIONS

- **College Promotion 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 on promotion cases forwarded by colleges.

#### 2.2 POLICY STATEMENTS

##### Recognition of Past Achievement

1. The rank of a newly appointed faculty member is determined at the time of appointment. Lateral appointment depends on the candidate's achievement.

##### Length of Service Criteria

2. 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.
3. 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. 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.

##### Mandatory Promotion

5. Assistant professors shall apply for promotion to the rank of associate professor upon completing the minimum period of service (five years).
6. If the promotion was denied, the faculty shall be allowed a second attempt, no later than the next promotion cycle (sixth years of service). If the second attempt was not successful, the faculty will receive a terminal contract for one year. An eighth year of service without promotion is considered the terminal year under all circumstances.





### Promotion Review Timeline

7. The timelines for the promotion review process shall be as announced by the Provost Office. A typical schedule is as follows:

|  |   |
|--|---|
| 1 <sup>st</sup> Week in<br><b>October</b>  | 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<br><b>February</b> | College Promotion Committee to complete review and submit its recommendation report to the Dean   |
| 1 <sup>st</sup> Week in<br><b>March</b>    | Dean to complete review and submit his/her own recommendation to the Provost together with the review reports of the College Committee  |
| Mid<br><b>April</b>                        | The University Promotion and Appointments Committee to complete review and submit its recommendation to the Provost   |
| May/June                                   | Provost to inform the applicant the outcome of the review   |
| 1 <sup>st</sup> July                       | Effective date of promotion and appointment in the new rank for promoted faculty  |

### Promotion Criteria

8. 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.

9. 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 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.





### Promotion Rating and Evaluation

10. The faculty member's achievements and contributions will be assessed in research, teaching and service. The weighting for each of these areas depend on the duties assigned to the faculty and his/her appointment contract.

11. Areas of teaching, research and service will be evaluated using the rating criteria of Excellent, Very Good and Unsatisfactory.

### Promotion Dossier

12. Promotion applicant must submit a dossier containing the following. A faculty member may request to 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, dependent and independent 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 Professor, 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 include efforts in students' supervision and students' achievements and placements after graduation (current employers of MS and PhD graduates).
- **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.
- **Nomination of dependent Assessors:** The applicant is required to include in his dossier the name of 5 dependent assessors.
  - A. Choice of Assessors: Potential dependent Assessors should be identified following these criteria:
    - Preferably from academia and with whom the candidate has interacted and worked with. Examples include PhD or Post-doc supervisor, a manager/colleague in a previous institution, collaborator, Co-investigator in a project, co-editor in a journal or co-chair in a conference, editor handling the applicant's papers, etc.
    - 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 reviewer. The candidate must not contact any of these individuals:

- Name, title, and current position;
- Postal and Email Address;
- One Paragraph Biography;
- Relationship details;

Candidate may submit a list of external assessors who may not provide an objective review. If the candidate does submit a list he/she should state the nature of conflict with an explanation as to why such individual should be disqualified as an external reviewer.

- **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.

### Committees

**13.** 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.

**14. College Promotion and Appointment Committee:** At the beginning of academic year, each Dean shall appoint a College Promotion Committee consisting of a minimum of three members. All divisions/programs should nominate a faculty member 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.

**15. University Promotion and Appointment Committee:** At the beginning of academic year the provost appoints a University Promotion and Appointments Committee for two years 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 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.

### Confidentiality

**16.** 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.

### Conflict of Interest

**17.** 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 co-researcher.





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18. A candidate may submit to the Dean/Provost a request to disqualify a committee member from reviewing his/her promotion committee on the basis of conflict of interest. The request should provide a brief statement on the nature of the conflict with 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.

### Review Process

19. Candidate meets with the Dean ahead of promotion submission deadline (preferably in May preceding the submission deadline) and reviews with the Dean his/her intention to submit for promotion. The Dean reviews with the Candidate the promotion criteria.
20. The candidate submits details promotion dossier by the University established deadline. Along with the submission, the candidate should submit a signed memo requesting promotion consideration and a certification indicating that the dossier is complete. Such certification should be communicated to the Dean and the Provost for the record.
21. The Dean will confirm the receipt of the dossier and will review the dossier for completeness and compliance with the policy.
22. Late and incomplete submissions will be disqualified in writing by the Dean. The memo should include the reasons for the disqualification.
23. If the candidate disagrees with the Dean on what is being included in the dossier, he/she can submit a statement in the dossier explaining reasons for disagreement. Once the dossier is certified by the Dean, no additional material shall be included by except the Dean, committees, and the external review reports.
24. The Dean forwards the dossier to the College Promotion Committee no later than a week from the dossier certification date.
25. The committee compiles a list composed of five independent external assessors and passes it to the Dean for approval. The committee should avoid apparent or perceived conflict of interest when nominating external assessors. The external assessors must be at the rank of professor from leading institutions. The list of independent assessors must avoid former advisors, current collaborators on research or conference organization or edited books or conference proceedings. The Dean may amend the list or ask the committee to add more potential assessors. Amendments must be justified.
26. The Dean also requests assessment from at least three dependent assessors from the list provided in the candidate's list.
27. The Dean will send all requests to assessors. The requested assessment letter will be sent together with the following documents:
  - 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.
28. The Committee may request additional information from assessors, as deemed appropriate if the submitted report is ambiguous or vague. They may seek additional assessors' input if deemed necessary.
29. Copies of all communication with assessors should be included in the dossier.
30. A minimum of two dependent and three independent assessment reports are required for complete dossier for promotion. Any additional internal assessment reports are not part of the minimum required assessment.
31. Once the assessment reports are received, the College Promotion 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.
32. The full dossier along with the College Promotion Committee summary report shall be submitted to the Dean by the deadline established by the University.







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33. The Dean shall evaluate the dossier, make a recommendation and submit his report to the Provosts office who will pass it to the University Promotion and Appointments Committee by the deadline established by the University.
34. The University Promotion and Appointments 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.
35. The Provost shall make recommendation to the President who will be the final decision making authority for all promotion cases.
36. Candidates will be informed of the President's decision via letter from the Provost. 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.
37. In the event of unsuccessful promotion application: A candidate who submitted an early promotion case will be allowed to submit his/her promotion again in due time without alteration to the faculty member's contract. A candidate who submitted mandatory promotion 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.

### Applicants Serving on Administrative Positions

38. 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 Committee. The Chair of the *ad hoc* committee will take the responsibility of the Dean.
39. Individuals serving at higher University management (e.g. President, Provost, Vice President, Associate Provost) are not allowed to apply for promotion while in Office.

### Appeal

40. A candidate may lodge an appeal of unsuccessful promotion on the grounds of material irregularity in the process or on the basis of substantial evidence of significant achievement not available when the case was under review. The appeal should be directed to the Provost.
41. The Provost may submit the appeal to the University Appeal Committee to evaluate the grounds for the appeal and make recommendations to the Provost.
42. The Provost may (a) accept the appeal and ask for reevaluation of the case taking into consideration the new evidence (b) reject the appeal.
43. The Provost shall make recommendation to the President who shall make the final decision regarding the appeal.

### Implementation of Promotion

44. The promotion will become effective at the start of the next academic year. 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.

## 3. RESPONSIBILITY/SOURCE/AUTHORITY

This policy and accompanying procedures were developed by the Office of the Provost, reviewed and endorsed by the University Academic Programs and Studies Committee and endorsed by the Provost and the University President and approved by the BOT.

This policy assigns the implementation of this process to the HBKU Provost in collaboration with appropriate college committees and deans.





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**3. 1 COMMUNITY SHOULD KNOW THIS POLICY**

President, Provost, Vice Presidents, Deans, Program Coordinators, Directors, Faculty, Students

**4. UPDATES**

| SUMMARY OF CHANGES |         |        |
|--------------------|---------|--------|
| Date               | Section | Change |
|                    |         |        |

**5. ACCOMPANYING PROCEDURE**

