

King Abdullah University of Science and Technology

PROMOTION GUIDELINES 2019-2020

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FACULTY PROMOTIONS

Overview and Expectations

2019-2020

1. INTRODUCTION

The promotion process is an integral part of academic assessment and review. It is fundamental to ensuring excellence and promoting the development of the faculty.

2. SCOPE

This document details the process for faculty promotions from the rank of Assistant Professor to Associate Professor and from the rank of Associate Professor to Professor. It does not detail the competitive process for initial faculty appointment or the appointment process for Distinguished Professor.

3. EXPECTATIONS FOR PROMOTION

Successful promotion is the result of the establishment of an academic portfolio that demonstrates impact. Faculty are evaluated on research, teaching and service/outreach. It is the documentable impact of their accomplishments in these areas that determines the outcome of the process.

3.1 For promotion to the rank of Associate Professor

A candidate must successfully pass internal and external reviews that document the following:

- a. the establishment of an independent research portfolio that demonstrates focus, excellence, potential for impact, international visibility and a trajectory to attain international recognition;
- b. a successful teaching program and student advising program, including documentation of progress of students under the faculty member's supervision, the rigor of the courses taught and the student evaluations of those courses; and
- c. an appropriate level of service to both the institution and the discipline. Included in this is the establishment of an effective, collegial working relationship with colleagues and a demonstration of the ability and willingness to engage in shared academic and administrative tasks while maintaining high standards of professional integrity.

3.2 For promotion to the rank of Professor

A candidate must successfully pass internal and external reviews that document the following:

- a. a sustained research program that has been recognized for its impact and has clearly attained substantial international recognition;
- b. a sustained, successful teaching and student advising program, including documentation of the accomplishments of students under the faculty member's supervision, the rigor of the courses taught and the student evaluations of those courses; and
- c. an appropriate level of service to both the institution and the discipline, including leadership activities within the discipline. Included in this is the establishment of an effective, collegial working relationship with colleagues and a demonstration of the

ability and willingness to engage in shared academic and administrative tasks while maintaining high standards of professional integrity.

3.3 Evaluation Dimensions

The faculty member’s achievements will be assessed on the following dimensions:

Excellence	Evidence of the quality and impact of research achievements on the discipline, the KAUST mission and the relevant Research Center, if appropriate
Independence	Contributions that demonstrate creative and independent thinking and the ability to identify and engage in new areas of research
Sustainability	Ability to maintain a research program and to extend its trajectory toward further growth and greater accomplishments

4. PROMOTION TIMETABLE

4.1 Mandatory Promotion Review Milestones

Promotion milestones are determined based on the date of faculty member’s first day of service at KAUST at the current rank, and are outlined in the following table.

KAUST Start Date	Academic Year Clock Starts	Year of First Three Year Review	Asst Prof Mandatory Promotion Review	Assoc Prof Mandatory Promotion Review
2012	2012-13	2016	2017-18	2018-19
2013	2013-14	2017	2018-19	2019-20
2014	2014-15	2018	2019-20	2020-21
2015	2015-16	2019	2020-21	2021-22
2016	2016-17	2020	2021-22	2022-23
2017	2017-18	2021	2022-23	2023-24
2018	2018-19	2022	2023-24	2024-25

Promotions are effective on July 1 of the year following the date of review unless otherwise stated.

4.2 Early Promotion

While it is not typical, a faculty member may request consideration for early promotion prior to the year of mandatory review. The minimum “time in rank” at KAUST before being considered for early promotion is three years. The faculty member must request in writing his/her intent to come up for promotion early, and is advised to first seek the advice of the Dean. The process is identical to the one followed in the mandatory review year. If the faculty member is denied promotion, he/she will get a new terminal contract of one year from the date of the decision to make plans for the next step in his/her career.

Recommendation of a faculty member for promotion earlier than indicated above would require exceptional justification, a proposal from the Dean and an approval from the Vice President for Academic Affairs.

4.3 Extensions to the Review Period

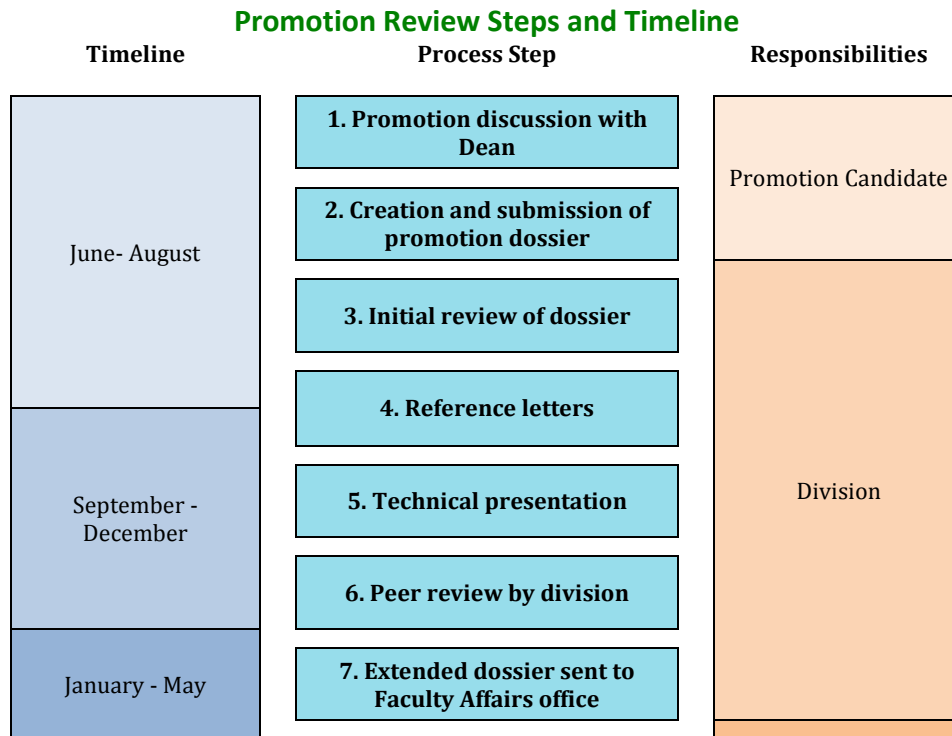
A faculty member’s review period may be extended, typically for one year, under special situations, including personal circumstances such as extended leave after childbirth and professional circumstances such as exceptional delays in establishing a laboratory. A request from the faculty member must be made in writing to the Dean, who will make a recommendation to the Vice President for Academic Affairs. All extensions require approval of the Vice President for Academic Affairs. The extension request must be made prior to the initiation of the mandatory promotion review.

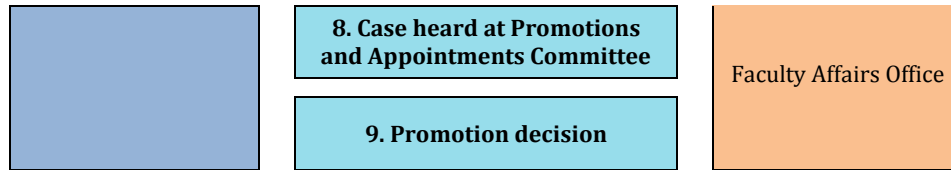
5. MANAGING THE PROCESS

The promotion review process may be initiated at any time of the year based on the mutual agreement of the candidate and the Dean, and with endorsement of the Vice President for Academic Affairs. Promotion reviews in the mandatory review year must be completed by **April 1st** of that academic year.

The promotion review process can be lengthy and may take six months or more to complete. Thus, typically, it is recommended that promotion process starts at the beginning of the mandatory promotion year (i.e., July) and with the aim of sending the file to the Faculty Affairs Office in January.

In support of the review process, each Spring, the Faculty Affairs Office will send each Dean a list of the individuals who are about to begin their mandatory review year. The Office will also follow up at the end of the Summer to obtain a list of the proposed timing of the reviews for each case and to learn if any early promotion reviews will be initiated. A hypothetical timeline is shown below:





5.1 Process Steps

1. PROMOTION DISCUSSED WITH DEAN

All faculty members must discuss the promotion process with their Dean prior to beginning the process. The Dean is responsible for communicating the institution’s expectations and process, as well as keeping the faculty member updated on the progress of his/her promotion application throughout the process.

2. CREATION AND SUBMISSION OF PROMOTION DOSSIER

At the initiation of the review process, the faculty member shall produce a detailed promotion dossier. All promotion dossiers must contain the documents listed in the table below. All faculty members should be guided by **Appendix I: Dossier Requirements**.

	Documents from Faculty Member
1.	An up-to-date CV, including a full list of publications
2.	A research statement (limited to 5 pages)
3.	A teaching portfolio, including a teaching statement, syllabi and a summary of teaching evaluations of all courses taught at KAUST since appointment or last promotion. The teaching statement should be labelled “For Internal Use”. It will not be sent to external reviewers.
4.	Names and details of six possible reviewers
5.	Four or five publications to be used as part of the review process

The faculty member shall submit the promotion dossier to the Dean upon completion.

3. INITIAL REVIEW OF DOSSIER

The Dean will confirm receipt of the completed dossier and will review the dossier for completeness and compliance with the dossier requirements.

4. SOLICITATION OF REFERENCE LETTERS

Internal Letters

If the faculty member seeking promotion is a member of a Research Center, the Center Director will be asked to provide a letter to the Dean on the accomplishments of the faculty member with respect to the Center’s mission. The Dean shall ask the senior faculty of the candidate’s discipline to provide a summary letter reviewing the accomplishments of the candidate. The Dean may also, at his/her discretion, request additional letters from sources internal to the University that evaluate the faculty member’s performance in specific areas, such as teaching.

External Letters

External reference letters provide essential insight into the faculty member’s accomplishments. Reference letters are requested from independent members of the

international scientific community. Names are to be selected from both the list of reviewers provided by the faculty member and a list developed by the Dean. The Dean will develop his/her list of reviewers in collaboration with experts in the candidate's field. Requirements for selecting letter writers are in **Appendix I**. A Dean's request letter template is in **Appendix IV**.

The goal of obtaining independent reviewers is to ensure minimal or no conflict of interest in the assessment of the candidate's accomplishments, as well as to ensure that global experts are able to provide candid assessments of the research accomplishments. While a few reviewers may have established collaborations with the candidate, former advisors (either PhD or post doc) must be avoided. The vast majority of reviewers must be free of potential conflicts of interest that could lead to any appearance of bias in the assessment that is provided.

Reviewers must be acknowledged experts in the field and predominantly from academia. Those from academia should be leaders in their field and represent leading institutions in the field able to assess performance at the level expected by KAUST. Reviewers must be of a rank at least at the level of the proposed promotion, although it is expected that most will be professors. Reviewers from research organizations or industry should be senior scientists or engineers who have recognized research careers, who understand the promotion expectations at research universities and who are able to assess research performance in a global context.

KAUST guarantees strict confidentiality of reference letters; promotion candidates will never be given access to the letters. The candidate should not have any contact with the proposed letter writers about the case during the process.

4.1 Requesting Reference Letters

The Dean will send out requests to reviewers from both the promotion candidate's list and the Dean's list. The candidate will not be told which names were selected from his/her list; nor will he/she be told what names were on the Dean's list. The request template in **Appendix IV** may be amended with the approval of the Vice President for Academic Affairs. Attached to the request letter will be the following documents:

1. CV
2. Research Statement
3. Sample publications

4.2 Following up with Letter Writers

It is common practice to send reminders to letter writers in order to maintain the integrity of the promotion review process and determine if additional review letters need to be requested. Copies of all communication should be retained as part of the candidate's file.

4.3 Number of Letters Required

A minimum of eight letters is required for a complete dossier for promotion. While it is recognized that the source of the letter writers who respond cannot be predicted, the original requests should be balanced between the candidate's and the Dean's list. Under unusual circumstances, the Dean may petition the Vice President for Academic Affairs for an exception to the number of required letters.

5. TECHNICAL PRESENTATION

The Dean will ask the faculty member to present a technical colloquium that will be open to the entire university community. The presentation must focus on the candidate's scientific accomplishments during the review period and their impact on the field. It is NOT meant to focus on activities prior to the period of review or to cover topics that are easily obtained from the promotion portfolio, such as publication statistics or grant activity. If possible, this presentation should be attended by all faculty in the Division who are of equal or higher rank to the rank being considered in the promotion.

6. PEER REVIEW BY DIVISION/VOTING

All faculty members in the Division who are of equal or higher rank to the rank being considered in the promotion will be expected to review the faculty member's dossier and then formally vote on the promotion case. The Division, at its discretion, may hold a faculty meeting of eligible voters to discuss each case prior to requesting the faculty vote.

Under no circumstances may the faculty share ANY details of the promotion file or process with the candidate. All communication with the candidate on the process must go through the Dean.

Divisional deliberations are to be based on the information in the dossier, and the vote should be based on the dossier and the results of the deliberations. The Dean must provide the results of the vote in his/her summary recommendation to the Promotions and Appointments Committee.

In cases in which a faculty member is jointly appointed to two Divisions and does not have a primary and secondary Division, both Divisions will be asked to complete the peer review.

Once the Division-level review is complete, the Dean(s) will write a report on the results of the deliberation and provide a recommendation on the promotion based on the results of divisional process and the Dean's assessment of the candidate.

For full details on this process, see: **Appendix III: Peer Review by Division.**

7. EXTENDED DOSSIER SENT TO FACULTY AFFAIRS OFFICE

The full documentation gathered throughout the promotion process will be collated into an extended dossier by the Division and sent by the Dean to the Faculty Affairs Office. It is the Division's responsibility to ensure that all contents are complete. If the dossier is not complete, it will be returned to the Division for completion. The Division is encouraged to contact the Faculty Affairs office if any questions arise at any stage of the process.

The faculty member will be given the opportunity to document any changes to the CV prior to his/her case being heard by the Promotions and Appointments Committee.

For full details of the extended dossier requirements, go to: **Appendix I: Dossier Requirements.**

8. CASE HEARD BY PROMOTIONS AND APPOINTMENTS COMMITTEE

Members of the Promotions and Appointments Committee (PAC) will review all promotion dossiers in advance of the meetings. The Dean will present the promotion cases from his/her Division to the committee. The Dean's presentation and letter should address the merits of the case and any concerns that might have been identified during the divisional review or in the external letters.

Under no circumstances may the PAC members share any details of the promotion file or process with the candidate. All communication with the candidate on the process must go through the Dean or Vice President for Academic Affairs.

9. PROMOTION DECISION

The President will make the final decision on each candidate's promotion case.

9.1 Decision Conveyed to Candidate

Candidates will be informed of the President's decision via a letter from the Vice President for Academic Affairs.

9.2 Unsuccessful Promotion Application

The following table outlines the outcomes of unsuccessful promotion applications.

Promotion Type	Outcome of Unsuccessful Promotion
Early Promotion	An unsuccessful review does alter the terms and conditions of the faculty member's contract. The individual will receive a new terminal contract of one year from the date of the decision to make plans for the next step in his/her career.
Mandatory Promotion	If unsuccessful, the faculty member may request a terminal contract extension of up to one year to make plans for the next step in his/her career.

9.3 Appeal Process

A candidate may lodge an appeal of an unsuccessful promotion on the grounds of a 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 Vice President for Academic Affairs, who will follow the appeal process in the PAC charter.

10. IMPLEMENTATION OF PROMOTION

The promotion will become effective at the start of the next academic year unless otherwise specified. At that time:

- A salary reflecting the promotion will become effective.
- The faculty member's contract will be extended.
- A review of the faculty's baseline funding commitment will be performed based on the faculty member's research area and new rank.

APPENDIX I: DOSSIER REQUIREMENTS

FACULTY INSTRUCTIONS

1. GENERAL STYLE REQUIREMENTS

- All submitted documents should have page numbers and should be size 11 Cambria font style.
- Any lists within documents, such as lists of publications or conference proceedings, should be numbered.
- Documents should be submitted in a searchable PDF format.

2. DOSSIER DOCUMENTS

Documents from the Faculty Member	
1.	An up-to-date CV including a full list of publications
2.	A statement on research (limited to 5 pages)
3.	A teaching portfolio, including a teaching statement, syllabi and teaching evaluations. The teaching statement should be labelled "For Internal Use". It will not be sent to external reviewers.
4.	Names and details of six possible reviewers
5.	Citation indexes
6.	Four or five publications

1. CV

The CV submitted as part of the dossier will be used throughout the promotion process. It will be sent to reviewers and eventually will be included in the dossier forwarded to the Faculty Affairs Office to be given to the Promotions and Appointments Committee. Please see Appendix II for a sample Common CV. It is the faculty member's responsibility to submit his/her CV in that format.

Prior to review by the Division or the Promotions and Appointments Committee, the candidate may submit an amended CV with the changes since it was submitted in the initial dossier highlighted in grey. Promotion candidates are strongly advised to submit a CV with their most recent accomplishments easily identified by highlighting them or using another font color as this ensures that their case will be reviewed based on the most up-to-date information.

2. STATEMENT ON 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 during the candidate's time as an independent investigator. 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. Emphasis should be placed on activities while at KAUST.

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.

Statements exceeding five pages will be returned for revision.

3. A 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 KAUST. The teaching statement should be labelled "For Internal Use".
- All syllabi and teaching evaluation summaries since the last successful promotion or appointment to KAUST.

4. NAMES AND DETAILS OF SIX POSSIBLE REVIEWERS

4.1 Choice of Reviewers

Potential independent reviewers should be identified in line with the guidelines established in Section 5 of the main document. They should predominantly be:

- From academia;
- Senior faculty members with international stature, at or above the rank being considered for promotion;
- Free from obvious conflict, such as former advisors, collaborators, close personal friends, or others having a relationship that might reduce objectivity ; and
- When possible, from top-tier institutions in the field.
- Selected reviewers may come from non-academic institutions. In such cases, the reviewer must be of international stature and must be capable of assessing the candidate using criteria set forth by academia.
- Reviewers will be evaluated based on their international stature, knowledge of the relevant field and independence from the promotion candidate.
- The promotion candidate must not contact the nominated reviewers regarding participation in the promotion process or after the dossier has been submitted.

4.2 Details of Proposed Reviewers

The Faculty member should provide the following information on each proposed reviewer:

- Name
- Title/Current Position
- Postal and Email Address
- One Paragraph Biosketch
- Relationship details:
 - Does the promotion candidate know the reviewer? If so, in what capacity?
 - Is the Faculty member engaged in any current activities or collaborations with the reviewer?
 - Has the Faculty member ever submitted any research funding applications with the reviewer?

- Has the reviewer ever received any research funding, honoraria, travel support or accommodations paid from the Faculty member’s KAUST funding?

4.3 Special Requests regarding Proposed Reviewers

If there is a compelling reason, faculty members may request that certain individuals not be approached for letters of reference. The request must be made in writing to the Dean, and it must include a clear and reasoned justification.

4.4 Communication with Reviewers

All communication with the proposed reviewers should be retained as part of the candidate’s extended dossier. Please use **Appendix VI** as a template to record all communication.

5. CITATION INDICES

Citation indices should be generated using Google Scholar, Scopus and Web of Science; these citations will be updated prior to the presentation of the case to the Promotions and Appointments Committee. A candidate’s unique ORCID and Researcher ID number (Web of Science) should be included in his/her CV.

6. FOUR OR FIVE PUBLICATIONS

The Dossier should also contain four or five peer-reviewed publications or conference papers deemed by the candidate to best reflect his/her research accomplishments. The selected material should:

- Have been published or presented since the last promotion; and
- Be predominantly from research work undertaken at KAUST

Papers that are under review should not be included, but papers that are accepted or in press may be used.

ADDITIONAL DOCUMENTS: A faculty member can request to add additional documents to his/her dossier, which may include articles from external media or evidence of impact in his/her field. 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.

DEAN’S INSTRUCTIONS

DOCUMENTS ADDED BY THE DIVISION

The following documents are gathered by the division and are **in addition to** those supplied by the faculty member:

1	Promotion Review Worksheet (See Appendix V)
2	Recommendation from Dean – including the result of the faculty vote
3	Recommendation from Center Director (if applicable)
4	Summary of program evaluation

5	Teaching Evaluation Summary Report - prepared by Faculty Affairs and shared with the Deans in the Fall
6	Summary of reference requests (See Appendix VI)
7	All evaluation letters and correspondence with reviewers
8	A short biography for each reviewer – candidate submits biographies for their suggested reviewers, while division prepares biographies for Dean’s choice reviewers

EXTENDED PROMOTION DOSSIER CONTENTS AND ORDER OF DOCUMENTS

The extended promotion dossier should consist of three “sub-dossiers”:

- A. Promotion sub-dossier
- B. Teaching sub-dossier
- C. Publication sub-dossier

Each of these three sub-dossiers should be saved as a separate PDF file. Page numbers in the format of “1 of n” should be added to each sub-dossier starting with page number 1 in the top right hand corner and at least ½” from the top of the page (in the header).

A. PROMOTION SUB-DOSSIER

The “Promotion sub-dossier” PDF document shall contain the following bookmarked sections, in the order listed below. Items in **green** are from the faculty member’s original dossier submission. Items in **blue** are added by the division.

1. PROMOTION REVIEW WORKSHEET

The promotion review worksheet template is found in **Appendix V**.

2. RECOMMENDATION FROM DEAN

The Dean’s recommendation should summarize the key points of the promotion case. In addition to highlighting the merits of the case, it is also important that the Dean directly address and comment on any weaknesses or concerns identified in the promotion file or reference letters. The recommendation should focus on the promotion dimensions listed below.

Excellence	Evidence of the quality and impact of research achievements on the discipline, the KAUST mission and the relevant Research Center, if appropriate
Independence	Creative contributions and the ability to identify new areas of research
Sustainability	Potential to maintain research trajectory resulting in further growth and greater accomplishments

Furthermore, the Dean should comment specifically on the:

- Quality and impact of research contributions, including the potential to establish or sustain a career with impact and international recognition;
- Relevance of contributions to KAUST’s mission and relevant Research Center;

- Faculty vote and feedback – The faculty feedback should be a summary and include any concerns identified during the review;
- Teaching performance;
- Citizenship and role within Program and Division; and
- Any concerns expressed by either the Division or the external letter writers.

3. RECOMMENDATION FROM CENTER DIRECTOR (if applicable)

4. SUMMARY OF PROGRAM EVALUATION

Faculty members from the candidate’s program who are eligible to vote on the promotion should provide a single report assessing the candidate’s research achievements, teaching effectiveness and promise of future professional development and impact.

5. CV

Any updates made to the CV since its original submission should be highlighted in grey.

6. RESEARCH STATEMENT

7. TEACHING STATEMENT

Note: A copy of the teaching statement should **also** be included in the Teaching Sub-Dossier.

8. REFEREE LOG (For referee log template, see Appendix VI)

9. CANDIDATE SPECIAL REQUESTS REGARDING REFEREES (if submitted)

10. TEMPLATE LETTER SENT TO REFEREES (For letter request template, see Appendix IV)

11. EVALUATION LETTERS AND REFEREE BIOS

Please indicate on the top right corner of each letter whether the reviewer was a “Candidate’s Choice” or a “Dean’s Choice”.

A short biography of each reviewer should be placed after their letter.

12. CITATION INDEXES

B. Teaching sub-dossier

The teaching sub-dossier PDF document shall contain the following bookmarked sections, in the order listed below:

1. [Teaching Evaluation Summary Report](#) as provided by Faculty Affairs
2. [Teaching statement](#)
3. [Course syllabi](#)
4. [Teaching evaluations](#)

C. Publications sub-dossier

The publications sub-dossier should contain the four to five publications that were sent to reviewers. These should be individually bookmarked.

DOCUMENT RETENTION

The Division should keep hard or electronic copies of the extended promotion dossiers for their records.

APPENDIX II: SAMPLE CV

John Smith

King Abdullah University of Science and Technology

Division/Program/Center

Email: @kaust.edu.sa

EDUCATION

Institution, City, State, Country, 1999-2000

Ph.D. in,

Dissertation Title:

Advisor:

Institution, City, State, Country, 1999-2000

MSc in,

Dissertation Title:

Advisor:

B.S. in ENGINEERING, June 1997

PROFESSIONAL EXPERIENCE

2009-present Assistant Professor, Division, KAUST

2004-2009 Assistant Professor, Department, Institution

2004-2005 Visiting Scholar, Institution

2000-2003 Post-Doctoral, Institution, Country

Others

RESEARCHER ID NUMBER

ORCID:

Web of Science Researcher ID: X-0000-0000

SCOPUS:

HONORS AND SCHOLARLY AWARDS (Student or post-doc advisees are underlined)

PROFESSIONAL AFFILIATIONS

PROFESSIONAL REGISTRATION

PUBLICATIONS

*Since I joined KAUST I published XX papers in peer-reviewed journal articles of which YY (Publications: 1-4, 15, 23-29) were the outcome of work generated by students and post-docs I supervised.

Peer-Reviewed Journal Articles (*corresponding author; student or post-doc advisees are underlined)

Publications at KAUST

Publications before joining KAUST

Journal Articles Under Review (*corresponding author; student or post-doc advisees are underlined)

Publications at KAUST

Journal Articles in Preparation (*corresponding author; student or post-doc advisees are underlined)

Publications at KAUST

CONFERENCE PRESENTATIONS

Invited Speaker

Peer-Reviewed Conference Proceedings (*Platform Speaker; **Poster; Student or post-doc advisees are underlined)

Conferences after joining KAUST

Conferences before joining KAUST

Abstracts (*Platform Speaker; **Poster; Student or post-doc advisees are underlined)

Conferences after joining KAUST

Conferences before joining KAUST

RESEARCH FUNDS

King Abdullah University of Science and Technology

Project Title. Funding Agency/Body. Principal Investigator: ; Co-Principle Investigators: Name (Institution if other than KAUST). Start and End Date (\$Total Value).

RESEARCH SUPERVISED

Supervision at KAUST		
Primary Supervision - Masters	Primary Supervision - PhD	Post Doc Supervision
Completed: In Progress: 0 3	Completed: 0 In Progress:	Total: 0

King Abdullah University of Science and Technology

PhD: Advisor

1. Student's Name, Program; Project Title (Start date: Term Year; Graduated/Expected Graduation: Term Year; First or current position/ location).

PhD: Co-advisor

1. Student's Name, (Co-Advisor :.....) Program; Project Title (Start date: Term Year; Graduated/Expected Graduation: Term Year; First or current position/ location).

PhD: Dissertation Committee

1. Student's Name, (PhD Advisor :.....) Program; Project Title (Start date: Term Year; Graduated/Expected Graduation: Term Year).

MS: Advisor

1. Student's Name, Program; Project Title (Start date: Term Year; Graduated/Expected Graduation: Term Year; First or current position/ location).

MS: Thesis Committee

1. Student's Name, (Advisor :.....) Program; Project Title (Start date: Term Year; Graduated/Expected Graduation: Term Year).

Postdoc supervised

1. Name
 - o Start date:
 - o Field of study:
 - o Departure date:
 - o Previous institution awarding degree:
 - o First or Current position/location:

UNIVERSITY SERVICE AND OUTREACH

University Committees

Outreach

PROFESSIONAL SERVICE

REVIEWER FOR JOURNALS

APPENDIX III: PEER REVIEW BY DIVISION

Peer review is an essential part of the faculty promotion process. Senior faculty members are able to submit their feedback to the Dean of their Division and are expected to vote on each promotion case.

1. VOTING ELIGIBILITY

Voting is an essential obligation of all faculty members. A deadline date must be established for final casting of votes. The number of abstentions and absences is reported as part of the vote tally and, in the PAC review process, will be considered an indication of lack of support for the candidate by those abstaining.

To be eligible to vote, a faculty member must be:

- A full-time, Board-approved KAUST faculty member (Visiting Professors and Sabbatical Visitors are not eligible to vote);
- A primary member of the Division that is evaluating the candidate; and
- At or above the rank being considered for promotion.

Level of Promotion Case	Faculty Entitled to Vote
Promotion to rank of Associate Professor	Associate Professors Professors
Promotion to rank of Professor	Professors

2. PROMOTION FILE

The following documents from the Promotion Dossier will be made available for review by senior faculty:

Process Documents

- Description of the promotion processes used at KAUST
- Template of the reference request letter used to obtain references

Promotion Documents

- Candidate's dossier
- Reference Letters

3. REVIEW PROCESS

Each candidate's Promotion Dossier should be available for faculty review for at least five days; this should be during the semester or during a period when the majority of faculty members are on campus.

Divisions should allocate a private place where faculty members may read the promotion documents in confidence. Faculty may not remove the dossier from this area.

4. MAINTAINING CONFIDENTIALITY

When requesting references, KAUST guarantees the confidentiality of all letters of reference. To maintain this commitment, the following confidentiality principles are maintained:

4.1 Storage

- The dossier should not be left unattended. It should be locked in a secure location when not being reviewed by a faculty member.
- Faculty members may not take the dossier to their office for review.

4.2 Coordination of files

Files in the dossier:

- May not be photocopied
- May not be removed from the dossier
- Must be kept together and not divided

4.3 Use of Information

- Faculty participating in the voting process **may not disclose or discuss ANY contents of the candidate's file, including reference letters**, with the candidates or individuals who are not eligible to review the file.
- Information should not be used for anything other than the assessment of the candidate for promotion.

It is the responsibility of the Division to control access to the files and to maintain confidentiality at all times. The electronic files included in the promotion package should be handled with strict confidentiality. Aside from the eligible voting faculty, they can only be shared with the Faculty Affairs Office, the Vice President for Academic Affairs and the President. In particular, sharing electronic copies of external evaluation letters with anyone other than those listed above is strictly forbidden.

5. COLLATING FACULTY FEEDBACK

The Dean may accept votes and feedback in any way he/she deems appropriate, including in-person voting or voting online/via email. It is the Dean's responsibility to encourage faculty members to vote.

The vote must be recorded and submitted as part of the Promotion Review Worksheet (see **Appendix V**).

The Dean should include a summary of the feedback and the voting results as part of his/her letter as documented in **Appendix I**.

APPENDIX IV: ASSESSMENT LETTER FOR PROMOTION TEMPLATES

Dear XXXX,

I write to request a confidential letter of reference for Dr. XXX, who is being considered for promotion to Associate Professor of XXXX.

KAUST expects Associate Professors to have demonstrated significant achievements and have the potential to produce international impact, leadership and reputation. Our appointments come with a significant level of guaranteed research support and access to world-class facilities. Thus, our expectations align with those of highly selective graduate research universities in the U.S. and Europe.

In making your evaluation, which should focus on both past achievements and future potential, it would be helpful if you could:

1. Evaluate the quality and significance of the papers provided with this letter, including their importance both within the general discipline and to the broader scientific community;
2. Compare the candidate's research accomplishments to the leading researchers of his/her generation;
3. Finally, KAUST asks not for a recommendation for or against promotion, but rather for your assessment of Professor _____'s scholarly and professional work in relation to the criterion of excellence. Specific appraisal of significant accomplishments, in addition to a judgment of the quality of the body of work in relation to the discipline's norms, would greatly assist the committee.

For your convenience, I attach a copy of Dr. XXXX Curriculum Vitae, his/her research statement and a set of sample publications.

KAUST holds external letters in strict confidence, with the understanding that they will be made available to members of the KAUST Promotions and Appointments Committee and voting faculty within the candidate's Division. The letters will be retained in the Dean's office, and the candidates will not have access to them.

We would greatly appreciate receiving your evaluation if at all possible by XXXX. Knowing of the effort expended to write such letters, my colleagues and I are very grateful for your efforts in this matter.

Dean
Division
KAUST

Dear XXXX,

I write to request a confidential letter of reference for Dr. XXX, who is being considered for promotion to the rank of Professor of XXXX.

KAUST expects Professors to have demonstrated breakthrough achievements and have established an international reputation for impact and leadership. Our appointments come with a significant level of guaranteed research support and access to world-class facilities. Thus, our expectations align with those of highly selective graduate research universities in the U.S. and Europe.

In making your evaluation, which should focus on both past achievements and future potential, it would be helpful if you could:

1. Evaluate the quality and significance of the papers provided with this letter, including their importance both within the general discipline and to the broader scientific community;
2. Compare the candidate's research accomplishments to the leading researchers of his/her generation;
3. Finally, KAUST asks not for a recommendation for or against promotion, but rather for your assessment of Professor _____'s scholarly and professional work in relation to the criterion of excellence. Specific appraisal of significant accomplishments, in addition to a judgment of the quality of the body of work in relation to the discipline's norms, would greatly assist the committee.

For your convenience, I attach a copy of Dr. XXXX Curriculum Vitae, his/her research statement and a set of sample publications.

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We would greatly appreciate receiving your evaluation if at all possible by XXXX. Knowing of the effort expended to write such letters, my colleagues and I are very grateful for your efforts in this matter.

Dean
Division
KAUST

APPENDIX V: PROMOTION REVIEW WORKSHEET

**Promotion Review Worksheet
2017-2018**

Candidate's Name: First Name Last Name	
Division: Full Division Name	
Program: Full Program Name	
Center Affiliation: Full Name of Center	
Candidate for: Rank	
Year Hired/ Last Promotion: 20XX	<input type="checkbox"/> Mandatory Promotion <input type="checkbox"/> Early Promotion

Dean's Recommendation for Promotion:		Yes/No		
Faculty Vote	FOR #	AGAINST #	ABSTAIN #	ABSENT #

Teaching and Mentoring Record			
Course Taught	Semester	No. of Students	Ave. Score On Question re Teaching Effectiveness

Supervision at KAUST		
Primary Supervision - Masters Completed: # Current: #	Primary Supervision – PhD Completed: # Current: #	Post Doc Supervision Completed: # Current: #

Students and Postdocs with completed degrees at KAUST under candidate's primary supervision:			
STUDENT/POSTDOC NAME	COMPLETED DEGREE	YEAR COMPLETED	FIRST OR CURRENT POSITION/LOCATION

Letter Writers/ Referees	Contacted: #	Received: #
NAME	INSTITUTION	SOURCE (CANDIDATE or DEAN)

List only referees who sent letters.

APPENDIX VI: REFEREES COMMUNICATION LOG

Referees Communication Log
Candidate's Name

Name	Institution	Date Contacted DD/MM/YYYY	Agreed to Write Y/N
Candidate's Choice			
<i>Ex: John Smith</i>	<i>University of California, LA</i>	<i>July 1, 2017</i>	<i>Y</i>
Dean's Choice			
<i>Ex: John Smith</i>	<i>University of California, LA</i>	<i>July 1, 2017</i>	<i>N</i>