

## Academic promotions

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### 1.0 Rationale and principles which this policy seeks to uphold

- 1.1 The University will appoint academic staff of high calibre, able to deliver the University's educational and research mission to internationally recognized standards.
- 1.2 The University expects high standards of performance from its staff.
- 1.3 The University wishes to recognize and reward outstanding performance.
- 1.4 The University has a transparent process for promotion of academic staff to higher rank; the process is based on explicit and detailed criteria.

### 2.0 Scope

- 2.1 Applies to all academic staff of the University.
- 2.2 Applies to all involved in the process of academic promotion.

### **3.0 Definitions**

- 3.1 The University will recruit and reward academic staff in terms of their role and responsibilities in teaching, research, and internal and external service.

### **4.0 Structures**

- 4.1 The membership and terms of reference of the Academic Promotions Committee is set out in relevant University policy for Statutory Bodies.

### **5.0 Policy**

#### General

- 5.1 The University recognises that an adequate length of service is necessary to provide an opportunity for faculty members to establish the required record of research; teaching and administration (for promotion). Therefore, applicants are normally required to serve a minimum of five years in the rank including a minimum of one year employed within the University before they are eligible to apply for promotion. Exceptionally, a candidate with less than five years in rank experience may seek special approval from the Vice-Chancellor, if non-academic experience or other factors are relevant.
- 5.2 The University supports the professional progress of their staff, and the prospect of promotion should form part of normal annual performance appraisal and development discussions.
- 5.3 Applicants may apply for promotion only to the level immediately above their current rank.
- 5.4 The University has established appropriate standards and criteria to evaluate applications for promotions. The candidate's promotion application must include a portfolio of research, teaching and administration. The promotion review concentrates on the faculty member's achievements in these areas with regard also to future potential and contribution to the University.
- 5.5 The Academic Promotion Committee will assess the research, teaching and administration achievements of the applicant. The Committee will scrutinise the applicant's portfolio, and achievements whilst in their current rank, and will seek input both internally and externally. In particular, the assessment of research output will include external reviewer reports written by a minimum of three academic professors of international repute, of which one will be from the UK University partner.
- 5.6 The Academic Promotion Committee is committed to ensure an effective assessment and decision-making process that is fair, equitable, professional, timely, and conducted with the intention to attract, retain, motivate and develop academic staff.
- 5.7 The Vice-Chancellor on the recommendation of the Academic Promotions Committee will make the final decision regarding the promotion application.

## Criteria for promotion

5.8 Academic Research - this criterion concentrates on academic research and publications in the candidates' area of specialisation, which must meet international standards of research excellence consistent with the norms and practices of the discipline and specialist field of interest.

5.8.1 Minimum threshold requirements for applying for promotion to Associate Professor:

- 5.8.1.1 the applicant has spent five years as a full-time Assistant Professor, of which at least one year is at the University;
- 5.8.1.2 the applicant has submitted a minimum of five and a maximum of eight all of which are Scopus-indexed (or equivalent) original academic refereed papers relevant to his/her area of specialisation. Two of the journal publications should be Q1;
- 5.8.1.3 he/she must be the first author of at least two of ranked journal publications, one of which would have to be Q1;
- 5.8.1.4 he/she should be the sole author of at least one of the journal papers;
- 5.8.1.5 the submission may include no more than 25% of papers which have been accepted in the previous twelve months;
- 5.8.1.6 the papers submitted for promotion must have been published or accepted for publication after obtaining a Doctorate degree. These papers must not be direct or significant extracts from the applicant's Master or Doctorate Dissertation or Thesis;
- 5.8.1.7 the applicant has at least two papers published or accepted for publication (with University affiliation), at least one of which would have to be a journal paper of Q2 quality or better;
- 5.8.1.8 only one paper (from the minimum number of five) may be in the form of published original work such as a peer reviewed indexed conference paper, unranked journal paper, a sole authored or co-authored book (but not textbooks or edited books), other specialised work such as design output in the case of architecture or a book chapter;
- 5.8.1.9 the applicant must have published at least one paper with a University student based on the work of a thesis/dissertation/assignment he/she supervised, and should be submitted within the minimum submission;
- 5.8.1.10 out of the minimum five Scopus-indexed publications, one publication should be co-authored with a student from the University;
- 5.8.1.11 the applicant must show successful application of research grants. External research funding will be highly considered;
- 5.8.1.12 citations will be highly considered.

5.8.2 Minimum threshold requirements for applying for promotion to Professor:

- 5.8.2.1 the applicant has spent five years as a full-time Associate Professor, of which at least one year is at the University;
- 5.8.2.2 the applicant has submitted a maximum of twelve, and a minimum of eight, all of which should be Scopus-indexed (or equivalent) academic refereed papers relevant to his/her area of specialisation. Five would have to be Q1 quality;

- 5.8.2.3 the applicant must be the first author of at least six of the ranked Journal publication out of which, at least three should be Q1. Two of the six have to be sole-author, one of which is Q1 publications;
- 5.8.2.4 no journal publication of quality less than Q4 would be counted in the minimum eight;
- 5.8.2.5 the submission may include no more than 25% of papers which have been accepted in the previous twelve months;
- 5.8.2.6 the papers submitted for promotion must have been published or accepted for publication after obtaining the rank of Associate Professor. These papers must not be direct or significant extracts from the Master or Doctorate Dissertations;
- 5.8.2.7 the applicant has at least two papers completed and published or accepted for publication (with University affiliation), at least one of them would have to be journal paper of Q1 quality;
- 5.8.2.8 only one paper (from the minimum number of eight) may be in the form of published original work such as a peer reviewed Scopus-indexed conference paper, unranked journal paper, a sole authored or co-authored book (but not textbooks or edited books), other specialised work such as design output in the case of architecture or a book chapter;
- 5.8.2.9 the applicant must have published at least one paper with a University student based on the work of a thesis/dissertation/assignment he/she supervised. This should be a peer-reviewed Scopus-indexed journal paper of Q2 quality or better, and should be submitted within the minimum submission;
- 5.8.2.10 the applicant must show successful application of research grants. The applicant must show a serious attempt for obtaining external research funding;
- 5.8.2.11 citations will be highly considered.

5.9 Teaching / Supervision - the assessment of teaching and other tutoring activities will be based on:

- 5.9.1 the Applicant's teaching portfolio ;
- 5.9.2 student evaluation including module feedback;
- 5.9.3 has contributed to multidisciplinary teaching and/or supervision across programmes and/or faculties;
- 5.9.4 the applicant has contributed to the development or enhancement of modules and/or programmes;
- 5.9.5 applicant to Professor rank must show evidence of leadership in teaching and supervision;
- 5.9.6 performance Appraisal;
- 5.9.7 supervision of Masters dissertations and Doctoral theses. For the promotion to the rank to Associate Professor, the applicant must show evidence of successful supervision of sufficient number of Masters dissertations. In the cases of promotion to Professor, the applicant must show evidence of supervision of acceptable number of Masters dissertations and doctoral theses;
- 5.9.8 other contribution to pedagogy and curriculum development.

5.10 Administration /Community Service(internal service, external including community service and leadership, and Professional development activities) - the assessment of administration will be based on:

- 5.10.1 The content of the applicant's portfolio relating to:
  - 5.10.1.1 the Applicant's contribution in service activities, at faculty and university level;
  - 5.10.1.2 the Applicant's association and contribution to national and international discipline-related and professional organisations;
  - 5.10.1.3 the Applicant's contribution to social/policy or business/economic development of relevance to the discipline and university;
  - 5.10.1.4 the applicant has shown sufficient Professional Development and CSR activities.
- 5.10.2 Annual Appraisal reports.
- 5.10.3 Contribution to the enhancement of BUiD reputation and brand will be highly considered.

### Appeal

- 5.11 The applicant will receive a brief summary of the decision from the Vice Chancellor's office, which the applicant is required to acknowledge on receipt or forfeit appeal rights. In exceptional circumstances, such acknowledgement may request an extension of the appeal deadline, which will be at the sole discretion of the Vice Chancellor.
- 5.12 An Applicant may appeal only on grounds of:
  - 5.12.1 procedural irregularity or breach of the policy;
  - 5.12.2 such appeals must be lodged in writing with the HR within one week of the date of required acknowledgement of the decision letter and will be referred to the Vice Chancellor;
  - 5.12.3 any further appeal will be referred to the Chancellor for consideration with a week from the outcome of the first appeal and the decision of the Chancellor will be final;
  - 5.12.4 a final decision regarding any appeal will be made within six weeks from the date of receiving the appeal.

## **6.0 Procedures**

- 6.1 The promotions process begins on the final working day of November, which is the deadline for the submission of applications. A timeline is presented in tabular form at Appendix A.

### Promotions File

- 6.2 The Promotions File consists of:
  - 6.2.1 covering letter;
  - 6.2.2 application to the Dean;
  - 6.2.3 portfolio.
- 6.3 The Portfolio should make clear how it addresses and satisfies the criteria for promotion as set out above. It should include:

- 6.3.1 summary of achievements in the current role consistent with the promotion requirements that the candidate is making an application (maximum length three pages of single spaced text)
  - 6.3.2 full academic CV;
  - 6.3.3 a brief clarification on the candidate's participation and contribution in all joint publications when the candidate is not the first author;
  - 6.3.4 A list of external reviewers (stating a minimum of four people and indicating any potential conflict of interest relating in any way to the prospective external reviewers);
  - 6.3.5 Form HR/20/A – A Summary of Research Publications;
  - 6.3.6 Form HR/20/B – Achievement in Research and Creative Activity;
  - 6.3.7 Form HR/20/C – Achievement in Teaching;
  - 6.3.8 Form HR/20/D – Achievement in Administration and Leadership.
- 6.4 Individuals seeking promotion must submit their Promotions File to the Dean, with copy to Head of Human Resources by the final working day in November.

#### Review Process: Stage One

- 6.5 The Dean will review the Promotion File and confirm that the applicant has been in service for the required period.
- 6.6 The Dean will provide to the Vice Chancellor, with copy to the Head of Human Resources, a qualitative evaluation of the applicant's research, teaching, and external service (leadership and administration) based on written reports from the Head of Programme and other relevant sources. The Dean will also provide an assessment of the applicant's academic conduct (values and ethics), their contributions to the programme and Faculty goals, the results of annual appraisals, and their rapport with colleagues and students.
- 6.7 The Academic Promotions Committee will evaluate the Promotions File and Dean's report on the basis of the criteria for promotion.
- 6.8 If the Academic Promotions Committee deems the Promotions File satisfactory for further consideration, the Promotions File will be referred to a minimum of three external reviewers.
- 6.9 If the Academic Promotions Committee is not satisfied with the merits of the Promotions File the application process will terminate and the applicant informed, with written advice on how the Promotions File should be developed in order to be successful at a subsequent attempt, at least one calendar year ahead.
- 6.10 At this stage the applicant can submit an appeal in writing to the Vice Chancellor. The appeal is limited to 500 words, should state clearly the grounds for appeal, and should be submitted no later than one week after notification of the original decision. The Academic Promotions Committee will reach final decision on the merits of the appeal.

#### Review Process: Stage Two

- 6.11 The external review of research is conducted by three external evaluators nominated by the Vice-Chancellor from the lists provided by the candidate, the Dean and one from the

UK University Partner. To ensure timely return of reports and in cases of ambiguity more than three external evaluators on the lists may be contacted.

- 6.12 The Vice-Chancellor makes the final appointment of the external evaluators from the Candidate's and the Dean's lists.
- 6.13 All external referees must be full professors holding current positions at a University of high academic standing.
- 6.14 Conflict of interest should be observed:
  - 6.14.1 former colleagues or professors who have taught or supervised the candidate are disqualified;
  - 6.14.2 external reviewers should detail any relationship with the applicant or interest in the result of the promotion;
  - 6.14.3 the applicant may not discuss the Promotion File with the external reviewer;
  - 6.14.4 the applicant may indicate any nominee with whom they have conflict of interest, providing detailed account why the nominee should be disqualified.
- 6.15 A formal request will be sent to the nominee by the Vice Chancellor setting out:
  - 6.15.1 A deadline date (1 April) for submitting the full external review of the candidate.
  - 6.15.2 Outline of the requirements, which are:
    - 6.15.2.1 review of the extent to which the applicants scholarly record constitutes a significant contribution to the discipline, the impact of the candidate's work on the discipline, and the extent to which the publications have been recognised or cited by others;
    - 6.15.2.2 comment on the applicant's future productivity;
    - 6.15.2.3 evaluation on whether the applicant has met the University criteria for promotion;
    - 6.15.2.4 statement of conflict of interest.
  - 6.15.3 Offer of an honorarium.
- 6.16 On acceptance, the external reviewers receive:
  - 6.16.1 the applicant's full academic CV;
  - 6.16.2 the candidate's publications (A maximum ten for an application to Associate Professor and a maximum of 10 for an application to Professor);
  - 6.16.3 the University Promotions Policy;
  - 6.16.4 Form HR/20/A – A Summary of Research Publications;
  - 6.16.5 Form HR/20/B – Achievement in Research and Creative Activity;
  - 6.16.6 Form HR/20/C – Achievement in Teaching;
  - 6.16.7 Form HR/20/D – Achievement in Administration and Leadership;
  - 6.16.8 Form HR/21 – Summary Evaluation of Application for Promotion in Rank.
- 6.17 External Reviewers correspond with the Head of Human Resources.

### Decision to recommend promotion

- 6.18 Reports received will be forwarded to the Vice Chancellor and made available to the Academic Promotions Committee at least three working days prior to the meeting convened to determine further action.
- 6.19 The Academic Promotions Committee will recommend the promotion decision to the Vice Chancellor.
- 6.20 The Dean provides written feedback to successful applicants, setting out recommendations made by external reviewers and the Academic Promotions Committee (unless the applicant is the Dean in which case the advice will come from the Vice Chancellor).
- 6.21 A successful applicant is placed on the first spine point of the grade promoted to and the revised salary and benefits are normally effected from the payroll of September of the same year.
- 6.22 An unsuccessful applicant is informed in writing by the Vice Chancellor.
- 6.23 The Dean provides written feedback to unsuccessful applicants, setting out recommendations made by external reviewers and the Academic Promotions Committee on actions required before subsequent application (unless the applicant is the Dean in which case the advice will come from the Vice Chancellor).
- 6.24 The minimum period for re-application for promotion is normally one year on the first refusal, two years on a second refusal or to be recommended by the Promotions Committee. In exceptional cases, a candidate may seek the Vice-Chancellor's approval to apply before the recommended deadline.



## **Appendix A: Timeline of the Promotions Process**

<b>Procedure</b>		<b>Time</b>
1	Formal application for promotion submitted as per procedures	Final working day of November
2	Dean's report and letter of recommendation from the Head of Programme	Mid-December
3	Academic Promotions Committee decide merits of the application  Appeal against the decision within one week of notification of negative decisions  Decision whether to accept the appeal within one week of receipt of the appeal	Mid-January
4	External Reviewers' Report Submission Deadline.  (Failure to submit requires invitations to new reviewers)	Mid-April
5	The Academic Promotion Committee review meeting  Recommendations to the Vice Chancellor	Last week in May
6	Vice-Chancellor notifies all candidates  University announcement of successful promotions	Last week in June
7	Dean informs all successful and unsuccessful applicants of recommended development actions	Last week in July
8	Appointment to new title and position	1 September

**Appendix B: Summary of Academic Research Promotions Criteria**

Promotion to Associate Professor	Promotion to Professor
The applicant has spent 5 years as a full-time Assistant Professor, of which at least one year is at the University	The applicant has spent 5 years as a full-time Associate Professor, of which at least one year is at the University
The applicant has submitted a minimum of 5, and a maximum of 8 all of which are Scopus-indexed (or equivalent) original academic refereed papers relevant to his/her area of specialisation. Two of the journal publications should be Q1	The applicant has submitted a maximum of 12, and a minimum of 8, all of which should be Scopus-indexed (or equivalent) academic refereed papers relevant to his/her area of specialization. 5 would have to be Q1 quality.
He/she must be the first author of at least two of ranked journal publications, one of which would have to be Q1.	The applicant must be the first author of at least six of the ranked Journal publication out of which, at least three should be Q1. Two of the six have to be sole-author, one of which is Q1 publications.
No journal publication of quality less than Q4 would be counted in the minimum 5 publications.	No journal publication of quality less than Q4 would be counted in the minimum 8.
The submission may include no more than 25% of papers which have been accepted in the previous 12 months.	The submission may include no more than 25% of papers which have been accepted in the previous 12 months.
The papers submitted for promotion must have been published or accepted for publication after obtaining a Doctorate degree. These papers must not be direct or significant extracts from the applicant's Master or Doctorate Dissertation or Thesis.	The papers submitted for promotion must have been published or accepted for publication after obtaining the rank of Associate Professor. These papers must not be direct or significant extracts from the Master or Doctorate Dissertations.
The applicant has at least two papers published or accepted for publication (with BUiD affiliation), at least one of which would have to be a journal paper of Q2 quality or better.	The applicant has at least two papers completed and published or accepted for publication (with BUiD affiliation), at least one of them would have to be journal paper of Q1 quality.

<b>Promotion to Associate Professor</b>	<b>Promotion to Professor</b>
<p>Only one paper (from the minimum number of five) may be in the form of published original work such as a peer reviewed Scopus-indexed conference paper, unranked journal paper, a sole authored or co-authored book (but not textbooks or edited books), other specialized work such as design output in the case of architecture or a book chapter.</p>	<p>Only one paper (from the minimum number of 8) may be in the form of published original work such as a peer reviewed Scopus-indexed conference paper, unranked journal paper, a sole authored or co-authored book (but not textbooks or edited books), other specialized work such as design output in the case of architecture or a book chapter.</p>
<p>The applicant must have published at least one paper with a University student based on the work of a thesis/dissertation/assignment he/she supervised, and should be submitted within the minimum submission.</p>	<p>The applicant must have published at least one paper with a University student based on the work of a thesis/dissertation/assignment he/she supervised. This should be a peer-reviewed Scopus-indexed journal paper of Q2 quality or better, and should be submitted within the minimum submission.</p>
<p>The applicant must show successful application of research grants. External research funding will be highly considered.</p>	<p>The applicant must show successful application of research grants. The applicant must show a serious attempt for obtaining external research funding.</p>
<p>Citations will be highly considered.</p>	<p>Citations will be highly considered.</p>