

APPENDIX I: DOSSIER REQUIREMENTS

FACULTY INSTRUCTIONS

1. GENERAL STYLE REQUIREMENTS

- All submitted documents should have page numbers and should be single spaced 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

All promotion dossiers must contain the documents listed in the table below.

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 Referees.
4.	Names and details of six possible Referees
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 Referees and eventually will be included in the dossier forwarded to the Faculty Affairs Office to be given to the Promotions and Appointments Committee. 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 REFEREES

4.1 Choice of Referees

Potential independent Referees 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;
- First-hand knowledge of the Faculty candidate;
- 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.
- While a few Referees may have established collaborations with the Faculty candidate, former advisors (either PhD or post doc) must be avoided.
- Selected Referees 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.
- Referees 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 Referees regarding participation in the promotion process or after the dossier has been submitted.

4.2 Details of Proposed Referees

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? If the reviewer does not have first-hand knowledge of the Faculty candidate, then either do not use the reviewer or the reviewer should be advised to stick to only known facts and to disclose the limited capacity in which the reviewer knows the Faculty candidate.
 - 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 Referees

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 Referees

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

4.5 Content

Reference letters should provide only the information that is requested and contain only information that is genuinely believed to be correct, based on fact and can be backed up by professional evidence and examples. The information provided should be placed in context and should not be inaccurate, misleading, defamatory, embellished, or a misrepresentation of the Faculty candidate's research and teaching record. Reference letters should be prepared by the reviewer in such a manner that, if the current Faculty candidate or former Faculty member were to gain access to the reference letter, he/she would be satisfied that it gives an accurate, fair and just representation of the individual's record of research and teaching, conduct, character and other indicia of employment while employed at KAUST.

4.6 Unfavorable Comments

Care must be taken to safeguard the reputation of the individual for whom the reference letter is provided and KAUST's reputation. Unfavorable comments should only be made if true, accurate and fair, and also the current Faculty candidate or former Faculty member must be (or have been made) fully aware of the negative facts while still employed. Inclusion of sensitive information is strictly prohibited (i.e., information relating to an individual's physical or mental condition, age, gender, ethnic or racial origin, religious beliefs, personal life, and/or admissions of wrongdoing (or liability)).

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 Referees
8	A short biography for each reviewer – candidate submits biographies for their suggested Referees, while division prepares biographies for Dean's choice Referees

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	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

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 Referees.

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 submitted by candidate](#)

C. Publications sub-dossier

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

DOCUMENT RETENTION

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