

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 within their Division.

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.

Divisions may arrange to upload a dossier to a "password protected read only" shared folder (Dropbox is the best option) where eligible faculty are invited to access within a limited period

of at least five days. All faculty will be reminded of the confidentiality rules via the following statement in the email sent with the link to the dossier:

“By accessing the documents via the above link, you commit to abiding by strict confidentiality. The link will allow you to view the documents online. It is important that you do not share the link and the password with anybody, do not attempt to download and/or store any of the documents on your computer, and do not send via e-mail or otherwise share any copies or screenshots of the documents with anybody.”

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:

1.1 Storage

- All documents related to the promotion case are normally stored electronically by the Dean’s Office. Only the Dean, the respective Program Chair, the Center Director (where relevant), and senior staff member(s) of the Dean’s office tasked with managing the promotion process in the Division will have access, at given times, to folders containing the promotion documents.
- If there is a printed dossier, 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 Provost 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**.