



Academic Affairs and Research

Faculty Review and Promotion Policy

MBZUAI-AAR-FACREVPROMO-POL-V1.0

Effective Date 11/10/2021

Table of Contents

1. Document Control Information	3
2. Glossary of Terms.....	3
3. Background and Rationale	4
4. Objective	4
5. Scope.....	4
6. Process and Criteria	4
6.1. Process at a Glance	4
6.2. Annual Performance Review.....	6
6.3. Guidelines for Promotion from Assistant to Associate Professor.....	6
6.4. Guidelines for Promotion from Associate to Full Professor	9
7. Related Documents.....	10
8. Version History.....	10

1. Document Control Information

Document Name	Faculty Review and Promotion Policy
Reference Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0
Department Name	Academic Affairs and Research
Owner/ Updated – Developed by	Provost Academic Affairs & Research Division
Version Number	1.0
Approval Date	11/10/2021
Approved By	President
Date of Last Review	N/A
Date for Next Review	11/10/2023
<i>For Office Use – Keywords for search function</i>	

2. Glossary of Terms

Term	Definition
360-degree evaluation	A performance evaluation survey that collects confidential, anonymous, and candid feedback from various individuals involved in peers day-to-day work, including Directors, colleagues, subordinates, peers, and students.
Annual performance review	The system through which faculty are evaluated. It's based on an annual activity report that you submit to your chair.
MBZUAI	Mohamed bin Zayed University of Artificial Intelligence.
Promotion	Recognition by MBZUAI of a substantial record of achievement by the faculty member.
Research Track	A non-tenure track that exists to support and serve the program of academic needs for the department and research units within the department.
Sustainable Funding	Funding that uses environmental, social, and governance (ESG) criteria to assess their societal impact. It may pursue a sustainability-related theme or explicitly aim to create measurable social impact.
Tenure Track	Faculty pathway to promotion and academic job security.

Department	Academic Affairs and Research	Approval Date	11/10/2021
Policy Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0	Revision Date	N/A
Policy	Faculty Review and Promotion Policy	Policy Owner	Provost

3. Background and Rationale

Mohammed bin Zayed University of Artificial Intelligence (“MBZUAI” or the “University”) recognizes the importance of the development and professional growth of its faculty members. This is reflected in the application of both regular review process for all faculty in general, and a comprehensive promotional review process for qualified individuals.

Promotions to the next academic rank are made to individuals who demonstrate a deep commitment to research and education, and whose promotion to a higher rank contributes to the development of the University’s research and educational missions. Promotions are assessed based on the following attributes:

- The individual’s abilities as an educator, particularly in mentoring graduate students
- The individual’s research accomplishments, their originality and significance
- The individual’s standing within his/her field
- The individual’s professional accomplishments
- The individual’s potential for further growth and leadership

Promotion is based on application of defined international academic standards. Although faculty members may differ in their achievements towards scholarship, teaching, and service, good level of achievement is expected in all three areas. The promotion guidelines detailed in this document are a minimum for consideration and are supposed to help the faculty assess their readiness towards application for promotion according to standards as appropriate to the requirements of their discipline and profession.

4. Objective

The objective of this guideline is to provide a standard mechanism to evaluate the professional development of faculty members and their achievements in research scholarship, teaching, and service. The following details MBZUAI’s promotion process, including faculty member eligibility, promotion requirements, timeline, the roles of different committees and external referees.

5. Scope

This Policy applies to all faculty members, both tenure track and research track.

6. Process and Criteria

6.1. Process at a Glance

6.1.1. Internal review and approval

6.1.1.1. Ladders for promotions

Tenure track:

- An annual performance review (APR), takes place at the end of each calendar year for all faculty members

Department	Academic Affairs and Research	Approval Date	11/10/2021
Policy Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0	Revision Date	N/A
Policy	Faculty Review and Promotion Policy	Policy Owner	Provost

- A mid-term review of tenure-track for an Assistant Professor takes place at the end of the 2nd year of the candidate
- In Assistant Professor to Associate Professor promotion and/or tenure cases, a review typically takes place at the end of 4th-5th year
- In Associate Professor to Full Professor promotion and/or tenure, a review typically takes place at the end of 7 years.
- Earlier or later reviews are permitted for very special cases, which may be recommended by the Department Chair.
- Once tenured, no promotion or promotion review is guaranteed to be granted for all faculty.
- Annual raise (or no raise) of salary is recommended by Department Chair based on the annual performance review

Research track:

- Annual performance review is carried out at the end of each calendar year,
- Mid-term review of research-track Assistant Professor takes place at the end of the 2nd year of the candidate
- In Research Assistant Professor to Research Associate Professor promotions cases, review takes place at the end of 4-5th year
- In Research Associate Professor to Research Full Professor promotion cases, review takes place at the end of 7+ years
- Research to tenure track switch is possible upon candidate’s own request and promotion committee review and recommendation
- Annual raise (or no raise) of salary is recommended by Department Chair based on the annual performance review

6.1.1.2. **Committee and Reviews**

- A departmental review and promotion (R&P) committee must be appointed by the Department Chair, who will be responsible for reviewing the case, providing a summary report, making a recommendation, and reporting the voting tally.
 - For each case, the R&P committee can appoint a reading committee to review the submitted package from faculty, along with external (5x), and internal (3x) recommendation letters, and advisee letters (2x).
- The votes inside the R&P committee shall be casted in 5 different grades: strongly support, mildly positive, neutral, mildly against, strongly against.
- Upon departmental R&P committee’s recommendations and report, a University-level committee, appointed by the Provost shall review the case and submit its recommendation to the President for final approval.

6.1.2. **Package to be prepared and submitted by the faculty member**

For the annual review process, a faculty review form will be provided by the department which will be filled by the faculty member according to specific requirements.

For faculty members undergoing mid-term performance review or going for tenure, or promotion, the following documents are required:

- Latest full CV, summarizing research, teaching, and services products, internal and external recognition, and awards, etc.
- Statement of research
- Statement of teaching

Department	Academic Affairs and Research	Approval Date	11/10/2021
Policy Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0	Revision Date	N/A
Policy	Faculty Review and Promotion Policy	Policy Owner	Provost

- Statement of service
- A total of three most representative publications (decided by the applicant)

6.1.3. External and internal references

A major metric in determining impact is through peer and 360-degree evaluation:

- At all levels of promotion, except for the mid-term review and annual review, a minimum total of 5 external and 3 internal recommendation letters are needed, half of which can be proposed by the candidate, and half by the department and departmental R&P committee. Letters providers (referees) must hold ranks senior to the positions to be promoted to, and must be internationally reputed (as determined by the departmental R&P committee)
- The referee will be asked to evaluate the candidate on research, teaching/education, and service. Industrial technology transfer is optional, but highly recommended.
- At least 60% of the referees should not be co-authors with the candidate for the past 5 years.
- At least 2 letters from the advisee shall be collected.

6.2. Annual Performance Review

Annual Performance Review: All faculty members, before and after tenure, will go through a routine annual performance review (APR package will be submitted by the faculty member at the end of each calendar year (December/January) to be assessed by a departmental committee put together by the department chair). A faculty review form will be provided by the department to be completed by the faculty member.

6.3. Guidelines for Promotion from Assistant to Associate Professor

Promotions will be based on clear demonstration of established research independence and strong international recognition, high teaching quality, and active service to the academic community. Particular emphasis is placed on the attainment of a strong academic and publication record, attracting researching funding, development of new courses, mentoring of graduating students, professional technical committee/editorial/reviewer involvement in top academic venues, and participation in various services within the university. For faculty involved in relevant research areas, filing of intellectual property is highly recommended.

6.3.1. Reviews and Timeline

- Annual Performance Review: Faculty members, before and after tenure, will go through a routine annual performance review (APR package will be submitted by the faculty member at the end of each calendar year (December/January) to be assessed by a departmental committee put together by the department chair)
- Mid-term review: At the end of the 2nd year, after initial appointment and halfway into the advancement toward next rank, a mid-term evaluation will be conducted by a departmental committee to assess progress on research and teaching, and to provide feedback to faculty. The outcome of this evaluation will not affect the evaluation for tenure and promotion to higher ranks. Time of mid-term review can be adjusted to take place 1 year before or after the estimated review date, upon faculty request and Department Chair approval.
- Promotional review: By default, consideration for promotions to Associate Professor shall be no later than the end of the fourth year from the appointment of entry-level Assistant Professor. Faculty can apply 1-2 year earlier in case of exceptional academic performance or in the event of joining MBZUAI with a post-entry level Assistant Professor (e.g., having served as an Assistant

Department	Academic Affairs and Research	Approval Date	11/10/2021
Policy Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0	Revision Date	N/A
Policy	Faculty Review and Promotion Policy	Policy Owner	Provost

Professor or equivalent in another institution), after getting the approval from the Department Chair in consultation with the Provost. A minimum service of two years in MBZUAI is also required before application to promotion. Faculty may also request to postpone promotional review by no more than 2 years due to special condition, such as sick or child leave, upon Provost's approval.

6.3.2. Research Excellence

Demonstrates full autonomy and quality in research with high impact. Indicators of Research Excellence include clear and consistent demonstration of:

6.3.2.1. UAE/Abu Dhabi Relevance

- Ability to align research direction with the strategic needs defined by MBZUAI
- Fruitful collaborative research partnerships with UAE industry and government agencies
- Ability to stimulate new research areas to satisfy the University's strategy and deliver the results

6.3.2.2. Research output

- Publication at high impact technical conferences (see ranking at <http://csrankings.org>) and leading technical journals. The following criteria shall be considered:
 - Venue quality: ranking of conference and journal (a guideline will be provided)
 - Paper quality and quantity, as reflected in the recommendation letters and committee reading report (major), and by other numerical ranks such as csrankings.org or H-index (taken as reference)
 - Best paper awards
 - Reviews and surveys in reputable venues
 - Work from MBZUAI-led research with his/her students and/or postdocs
 - Upward record of publication performance for the years preceding promotion application with particular emphasis on performance while at MBZUAI.
- External academic impacts:
 - Keynotes, invited talks, and tutorials in top technical conferences
 - Invitation to seminars in top academic institutions
- Major awards and recognitions:
 - International prizes and awards
 - Fellow of IEEE, AAAI, ACM, SIAM etc.
 - Member of elite academies
- Book(s) and Book chapters in areas of expertise
- Intellectual property, in the form of a patent or copyrighted document, that is widely adopted in practice: e.g., MBZUAI patent disclosures that are accepted for filing and granted patents
- External funding for research: securing external funding from government research foundations, corporate grants and gifts, non-profit foundation grants and awards, etc.

6.3.2.3. Sustainable Funding

- Ability to attract external and internal research funding
- Efforts made in seeking internal/external funding

Department	Academic Affairs and Research	Approval Date	11/10/2021
Policy Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0	Revision Date	N/A
Policy	Faculty Review and Promotion Policy	Policy Owner	Provost

- Leadership in research projects as demonstrated by role as Principal Investigator (co-Investigator)
- Initiating/contributing to partnership agreements with partner institutions
- Entrepreneurship Achievements
- Award winning start-ups
- Prestigious technical roles in leading companies, etc.
- IP created that is used by companies or institutions

6.3.3. Teaching Excellence

Demonstrates commitment and success in classroom teaching and student mentoring.

6.3.3.1. Pedagogy

Continuous improvement of capability to teach graduate courses with an excellent teaching record and innovative techniques. Focus should be on developing and teaching graduate level courses with good teaching record. Indicators of good teaching record include:

- Teaching productivity:
 - Development and teaching of new courses – scope and depth are key, using innovative methods and techniques.
 - Complete course portfolios for all taught courses
 - Number of courses taught (this should be made standard, but faculty who strive beyond the limit shall be recognized)
 - Flexibility to develop and teach different courses
- Teaching effectiveness:
 - Attendance of classes
 - Student evaluations showing positive feedback. Teaching scores show an increasing trend relative to the department averages.
 - Course grades show consistent no record of grade inflation
- Teaching methodology:
 - Course syllabus adopted by other internationally renowned universities, tutorials and summer school lectures given in internationally prestigious venues.
 - Reference and adoption of teaching materials by the international community
 - Viewership of online lectures

6.3.3.2. Mentorship

Including, but not limited to:

- Number of Master students, Ph.D. students and postdocs graduated and having favorable outcomes such as:
 - Continue to higher programs in top universities (e.g., for MS students)
 - Become postdocs or faculty in top universities
 - Enter industry and take key engineering and/or R&D roles in top companies
- Advisee reviews will be collected and taken into account in the promotion review

6.3.4. Service

6.3.4.1. Increasing international exposure and recognition

- Chairing well recognized international conference sessions.

Department	Academic Affairs and Research	Approval Date	11/10/2021
Policy Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0	Revision Date	N/A
Policy	Faculty Review and Promotion Policy	Policy Owner	Provost

- Chairing well recognized international conferences.
- Member of editorial board of quality journals.
- Editor or Associate Editor in journals.
- Guest Editor in journal special editions.
- Participating in publications such as reports and standards that contribute to the field.
- Service on PhD committees at top universities. Reviewing papers and proposals from top universities; and faculty promotion requests.
- International recognition of service as evidenced by as Awards.

6.3.4.2. **Service to MBZUAI and Abu-Dhabi/UAE Community as demonstrated through the following**

- Number of committees and roles.
- Any standing or ad hoc administrative role.
- Involvement in curriculum and course development.
- Participation in outreach activities.

6.4. Guidelines for Promotion from Associate to Full Professor

A promotion from Associate to Full Professor shall be based on candidates' accomplishments in research, teaching, and service along the same metrics defined in the guideline for promotion from Assistant Professor to Associate Professor but held at a standard reflecting significantly greater impact and higher distinction. Particular emphasis is placed on the attainment of a very strong academic and publication record and attraction of significant external research funding from industry and government. For faculty involved in relevant research areas, filing of intellectual property is highly important. Internationally recognized awards for academic excellence are highly desired as are external leadership roles concerning academic publications as well as industry and government bodies.

6.4.1. Review and Timeline

Promotional review: By default, consideration for promotions to Full Professor shall be no later than the end of the seventh year, or 3 years after promotion to Associate Professor. Faculty members can apply 1-2 year earlier in case of exceptional academic performance or in the event of joining MBZUAI with prior appointment another institution that justifies such schedule, after getting the approval from the Department Chair in consultation with the Provost. A minimum service of two years in MBZUAI is also required before application to promotion. Faculty may also request to postpone promotional review by no more than 2 years due to special condition, such as sick or child leave, upon Provost's approval.

6.4.2. Research Excellence

Demonstrate excellence in research with high impact scientific contributions. Recognized scientific leadership with significant contribution to the Institute's reputation.

6.4.2.1. UAE/Abu Dhabi Relevance

- Ability to tune research direction with UAE/Abu Dhabi strategic needs and requirements.
- Established collaborative high impact research with local industry and institutions.
- Ability to define new research areas to satisfy the strategic vision, ability to translate high level strategic vision into research plans to deliver the results.

6.4.2.2. Capacity Building

Department	Academic Affairs and Research	Approval Date	11/10/2021
Policy Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0	Revision Date	N/A
Policy	Faculty Review and Promotion Policy	Policy Owner	Provost

- Mentoring junior faculty including, but not limited to, support for development of research proposals, lab. set up, and course development.
 - Supporting the development of services/labs for wider institutions in a collaborative or as a stand-alone mode.
- 6.4.2.3. **Research Output**
- In line with clause 6.3.2.2 of this policy, but to be held at a standard reflecting significantly greater impact and distinction.
- 6.4.2.4. **Sustainable Funding**
- Proven record of attracting external and internal funding
 - Demonstration of building on seed funding to attract more funding
 - Ability to tune research activities to respond to local requirements and constraints while remaining sufficiently focused to be renowned in one or more defined areas
- 6.4.3. **Teaching**
- In line with clause 6.3.3 of this policy, but to be held at a standard reflecting significantly greater effectiveness and distinction.
- 6.4.4. **Service**
- 6.4.4.1. **International exposure and recognition**
- In line with clause 6.3.4.1 of this policy, but to be held at a higher standard reflecting significantly greater impact and distinction.
- 6.4.4.2. **Service to MBZUAI and Abu-Dhabi/UAE Community as demonstrated through the following:**
- Mentoring junior faculty in terms of research, teaching, and service.
 - Leadership role in committees.
 - Leadership in standing or ad hoc administrative roles.
 - Established track record to promote collegial environment.
 - Developed or took leadership in outreach activities.
 - Enhance matching of local undergraduate students to MBZUAI’s academic offering and enhance acceptance and graduation rate – e.g. Working with local institutions to tune the curriculum, providing cross learning, or undergraduate internships etc.

7. Related Documents

Section	Related Document(s)
N/A	N/A

8. Version History

Version number	Person responsible	Date of change	Comments
V1.0	Provost	11/10/21	First approved version

Department	Academic Affairs and Research	Approval Date	11/10/2021
Policy Number	MBZUAI-AAR-FACREVPROMO-POL-V1.0	Revision Date	N/A
Policy	Faculty Review and Promotion Policy	Policy Owner	Provost