

**REGULATIONS CONCERNING ACADEMIC APPOINTMENTS IN THE FACULTY OF
DENTISTRY**

TABLE OF CONTENTS

1. INTRODUCTION	4
2. ACADEMIC APPOINTMENTS	5
3. REAPPOINTMENT, TENURE OR CONTINUING APPOINTMENT, AND PROMOTION	6
3.1. ROLES AND RESPONSIBILITIES	7
3.1.1. <i>Faculty Member</i>	7
3.1.2. <i>Department Chair/Director</i>	7
3.1.3. <i>Faculty Committee (Faculty Review Committee)</i>	7
3.1.4. <i>Dean</i>	7
3.1.5. <i>President</i>	7
4. PROFESSORIAL STREAM	8
4.1. REAPPOINTMENT	9
4.1.1. <i>Eligibility</i>	10
4.1.2. <i>Timeline</i>	10
4.1.3. <i>Criteria</i>	10
4.1.4. <i>Documentation</i>	11
4.1.5. <i>Review Process</i>	12
4.1.6. <i>Appeal</i>	13
4.2. TENURE.....	14
4.2.1. <i>Eligibility</i>	15
4.2.2. <i>Applying for Tenure and Promotion</i>	15
4.2.3. <i>Timeline</i>	15
4.2.4. <i>Criteria</i>	16
4.2.5. <i>Documentation</i>	17
4.2.6. <i>Choosing Referees</i>	17
4.2.7. <i>Review Process</i>	18
4.2.8. <i>Appeal</i>	18
4.3. PROMOTION TO ASSOCIATE PROFESSOR	21
4.3.1. <i>Eligibility</i>	22
4.3.2. <i>Timeline</i>	22
4.3.3. <i>Criteria</i>	22
4.3.4. <i>Documentation</i>	24
4.3.5. <i>Choosing Referees</i>	24
4.3.6. <i>Review Process</i>	25
4.3.7. <i>Appeal</i>	25
4.4. PROMOTION TO FULL PROFESSOR.....	28
4.4.1. <i>Eligibility</i>	29
4.4.2. <i>Timeline</i>	29
4.4.3. <i>Criteria</i>	29
4.4.4. <i>Documentation</i>	31
4.4.5. <i>Choosing Referees</i>	32
4.4.6. <i>Review Process</i>	32
4.4.7. <i>Appeal</i>	32
5. INSTRUCTOR STREAM	35
5.1. REAPPOINTMENT TO SECOND PROBATIONARY APPOINTMENT	36

5.1.1.	<i>Eligibility</i>	37
5.1.2.	<i>Timeline</i>	37
5.1.3.	<i>Criteria</i>	37
5.1.4.	<i>Documentation</i>	38
5.1.5.	<i>Review Process</i>	38
5.1.6.	<i>Appeal</i>	39
5.2.	CONTINUING APPOINTMENT.....	40
5.2.1.	<i>Eligibility</i>	41
5.2.2.	<i>Applying for Continuing Appointment and Promotion</i>	41
5.2.3.	<i>Timeline</i>	41
5.2.4.	<i>Criteria</i>	41
5.2.5.	<i>Documentation</i>	42
5.2.6.	<i>Review Process</i>	43
5.2.7.	<i>Appeal</i>	43
5.3.	PROMOTION	44
5.3.1.	<i>Eligibility</i>	45
5.3.2.	<i>Timeline</i>	45
5.3.3.	<i>Criteria</i>	45
5.3.4.	<i>Documentation</i>	46
5.3.5.	<i>Review Process</i>	47
5.3.6.	<i>Appeal</i>	47
6.	TERMS OF REFERENCE: FACULTY REVIEW COMMITTEE	48
7.	APPENDIX A – SAMPLE LETTER FOR EXTERNAL REFEREES	49
8.	APPENDIX B – ACADEMIC RECRUITMENT PROTOCOL	52
9.	APPENDIX C – FACULTY OF DENTISTRY’S GUIDING PRINCIPLES	53

1. INTRODUCTION

Appointment, reappointment, tenure or continuing appointment, and promotion are key milestones in a faculty member's career. The appointment, reappointment, tenure or continuing appointment, and promotion processes in the Faculty of Dentistry are governed by the *Academic Appointments Policy*, the *Regulations Concerning Appointments, Tenure, and Promotion* and the applicable collective agreements.

The purpose of these Regulations is to assist and inform those involved in the appointment, reappointment, tenure, continuing appointment, and promotion processes at all levels: faculty members, department chairs, faculty committee members, and senior leaders. These guidelines outline the appointment, reappointment, tenure or continuing appointment, and promotion processes and formal procedures, including deadlines, routing, levels of responsibility, eligibility, university and faculty-level criteria, and documentation.

The Faculty of Dentistry encourages you to speak with your Department Chair or Director about your reappointment, tenure or continuing appointment, and/or promotion process. They can answer questions and direct you to additional resources.

Please note, these *Regulations* do not supersede the Dalhousie Faculty Association (DFA) Collective Agreement or the Canadian Union of Public Employees, Local 3912 (CUPE) Collective Agreement. When considering the appointment, reappointment, tenure or continuing appointment, and/or promotion of a full-time faculty member in the School of Dental Hygiene, please refer to the DFA Collective Agreement. When considering the appointment of a part-time faculty member in the School of Dental Hygiene, please refer to the CUPE Collective Agreement.

2. ACADEMIC APPOINTMENTS

1. All academic appointments in the Faculty of Dentistry are to be made in compliance with the *Academic Appointments Policy*.
 - a. All full-time faculty appointments in the School of Dental Hygiene must also comply with the DFA Collective Agreement.
 - b. All part-time faculty appointments in the School of Dental Hygiene must also comply with the CUPE Collective Agreement.
2. All full-time academic appointments must be supported by a recommendation for such an appointment by an appropriate committee of the relevant Department or School. All recommendations are made to the Dean by the Chairperson, Head or Director, and subsequently to the President for presentation to the Board of Governors.
3. Professoriate appointments can be made at the rank of Assistant Professor, Associate Professor, or Full Professor.
4. Instructor appointments can be made at the rank of Instructor, Senior Instructor, or University Teaching Fellow.
5. On appointment, faculty must meet all the required criteria of their assigned rank.

3. REAPPOINTMENT, TENURE OR CONTINUING APPOINTMENT, AND PROMOTION

All faculty are required to participate in annual reviews. At various times throughout their careers, faculty will also be reviewed through the reappointment, tenure or continuing appointment, and/or promotion processes. The review processes for reappointment and for tenure or continuing appointment are mandatory but faculty may choose if they wish to be considered for promotion.

These regulations relating to reappointment, tenure or continuing appointment, and promotion may be reviewed and revised by Faculty Council.

3.1. ROLES AND RESPONSIBILITIES

3.1.1. Faculty Member

Faculty members are responsible for contacting their Department Chair/Director for information regarding reappointment, tenure or continuing appointment, and/or promotion. Faculty members should be aware of the criteria and the steps in the review process. Faculty members must develop and submit their complete applications by the deadline and are expected to engage in the review process, as appropriate. Applications and all supporting documentation must be submitted electronically.

3.1.2. Department Chair/Director

Department Chairs/Directors are expected to serve as a level of review in the reappointment, tenure or continuing appointment, and/or promotion processes. They are to ensure the applicant's initial letter of appointment is included in the documentation. Their written recommendation should clearly address all relevant criteria and provide a rationale for their recommendation.

The Department Chair/Director is responsible for answering the applicant's questions about the reappointment, tenure or continuing appointment, and/or promotion process and for obtaining letters from external referees on behalf of the applicant.

In years where Department Chairs/Directors must make recommendations of their own, they are not to sit on the Faculty Review Committee.

3.1.3. Faculty Committee (Faculty Review Committee)

The Faculty Review Committee is responsible for the review of reappointment, tenure and continuing appointment, and promotion applications. Written recommendations should clearly address all relevant criteria and provide a rationale for the decision. The Faculty Committee is a standing committee of the Faculty of Dentistry and is therefore made up of members of the Faculty of Dentistry, elected by faculty.

3.1.4. Dean

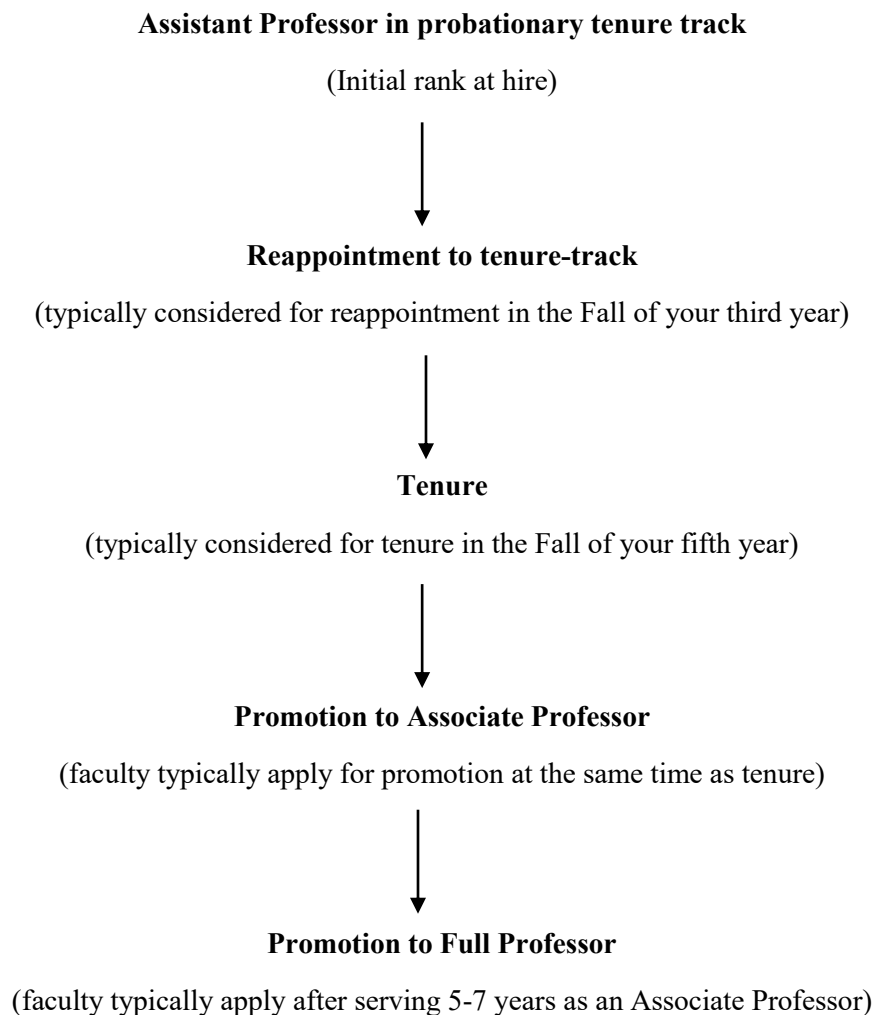
The Dean is responsible for the review of reappointment, tenure and continuing appointment, and promotion applications. Written recommendations should clearly address all relevant criteria and provide a rationale for the decision. The Dean's Office also develops and maintains the file inventory throughout the review process as per University protocol and is responsible for including the applicant's personnel file and SRIs.

3.1.5. President

The President is responsible for the review of tenure and promotion applications. Written recommendations should clearly address all relevant criteria and provide a rationale for the decision. The President also receives a faculty member's notice of appeal and reaches out to the University Appeal Committee to begin the appeal process.

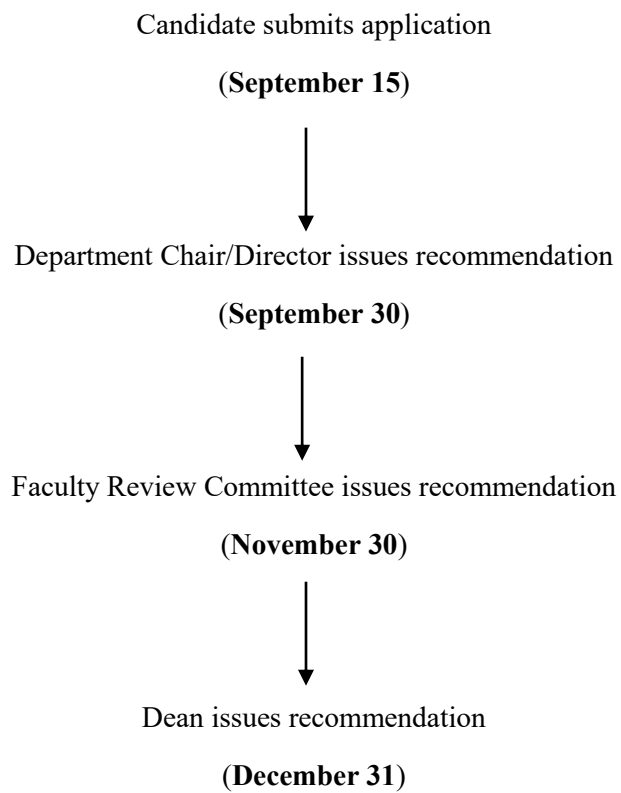
4. PROFESSORIATE STREAM

This stream is reserved for faculty members who are actively involved in significant programs of research. Faculty members are typically hired at the Assistant Professor rank and normally progress through the professoriate stream as follows:



**Please note, these are general patterns. Exceptions may apply.*

PROFESSORIAL STREAM: REAPPOINTMENT

4.1. REAPPOINTMENT

PROFESSORIAL STREAM: REAPPOINTMENT

4.1.1. Eligibility

Faculty members are normally considered for reappointment from a probationary tenure-track to a tenure-track position in the fall term of the third year of their contract. Early consideration may occur in exceptional cases.

For example, a faculty member hired to a probationary tenure-track position in July 2019 would be eligible for consideration of reappointment in the Fall of 2021. If successful, their reappointment would take effect July 1, 2022.

4.1.2. Timeline

September 15:	Deadline for submission of application to the Dean.
	The Dean's Office develops and maintains a file inventory throughout the review process as per University protocol. Reviewers may remove the file from the Dean's Office but it must be returned once the review is complete.
September 30:	Department Chair/Director makes recommendations to Dean.
November 30:	Faculty Review Committee makes recommendation to Dean.
December 31:	Dean makes final recommendation to the President.

4.1.3. Criteria

1. **Appropriate academic and professional qualifications**, as stated in the letter of appointment
 - a. The possession of appropriate degrees and/or certificates/diplomas; and
 - b. Appropriate experience in the discipline
2. **Satisfactory and effective teaching**. This may include but is not limited to:
 - a. Satisfactory teaching activities in lectures and/or seminars, laboratories, clinics as evidenced by student and peer evaluation
 - b. Effective supervision of students in remedial activities and/or elective activities, table clinics, other projects
 - c. Supervision of research personnel (staff and/or students) where appropriate
 - d. Appropriate preparation and presentation of material in courses of Continuing Education
 - e. Development of innovative approaches in teaching and/or education
 - f. Participation in professional development activities related to teaching
3. **Appropriate scholarly activity in one or more of the following five categories:**
 - a. Scholarship of discovery; and/or
 - b. Scholarship of integration; and/or
 - c. Scholarship of application; and/or
 - d. Scholarship of teaching; and/or

PROFESSORIAL STREAM: REAPPOINTMENT

- e. Traditional and/or cultural ways of knowing

Examples of appropriate scholarly activity or contribution to the discipline and the profession may include but are **not limited to**:

- Papers accepted and/or published in refereed, learned or professional journals
- Published books or chapters in published books
- Presentations at conferences and learned/professional societies
- Professional development related to research activities
- Workshops: academic and/or industry; clinical; community
- Knowledge translation activities to relevant stakeholders (e.g. public, patient groups, policy makers)
- Continuing Education to the professional community
- Tool development
- Policy and/or regulation development
- Standards development
- Patents
- Technology Transfer and Communication
- Consulting/Research and Development Collaboration for/with Industry
- Application to provincial and federal funding programs
- Contributions to collaborative research and/or research teams

4. **Ability and willingness to work with colleagues so that the academic units concerned function effectively**, as evidenced by:

- a. Appropriate internal service. This may include but is not limited to:
- Service on standing and/or ad hoc committees at the departmental, faculty, senate or other university levels
 - Participation in peer review of grant applications and manuscripts
- b. Appropriate external service. This may include but is not limited to:
- Involvement in local and/or provincial, national, international professional organizations or service on related committees
 - Service as a consultant, advisor or referee to local and/or provincial, national or international bodies concerned directly or indirectly with his/her discipline or profession
 - Manuscript review services for professional journals
 - Professional contributions to the community

5. **Personal Integrity and Professionalism**

- a. Faculty member in good standing with the Faculty of Dentistry, Dalhousie University and the Provincial Dental Board of Nova Scotia, where applicable; and
- b. Demonstrates an ability to work with others collegially; and
- c. Demonstrates the Faculty's Guiding Principles

4.1.4. Documentation

Reviewers will consider all of and only that documentation which is submitted in support of an application or a recommendation. Applications for Reappointment should include, but are not limited to:

- a) Cover letter for reappointment application
- b) Curriculum vitae, including evidence of internal and external service

PROFESSORIAL STREAM: REAPPOINTMENT

- c) Teaching dossier, including but not limited to:
 - i. Teaching philosophy
 - ii. Evidence of
 - 1. Satisfactory and Effective Teaching
E.g. summary of evaluations by students, colleagues
 - 2. Merit in teaching and/or evaluation
E.g. Summary of new course development, significant modification of course, development and/or introduction of new teaching methods/materials, evaluation schemes
 - 4. Professional development activities related to teaching and learning
- d) Scholarly dossier including but not limited to
 - i. Summary of research program, accomplishments and future goals
 - ii. Evidence of scholarly contributions to the discipline and profession
E.g. student mentorship, grant capture, publications, other knowledge translation activities
- e) Three Letters of support from colleagues and/or stakeholders are *encouraged*.

4.1.5. Review Process

Applications for reappointment are first reviewed by the Department Chair/Director. The application is then referred to the Faculty Review Committee, which will then make a recommendation to the Dean. The Dean makes the final decision.

At each level of review, the reviewer(s) can choose to:

- a) recommend reappointment;
- b) recommend deferral of reappointment; or
- c) not recommend reappointment

If the reviewer(s) anticipate they will recommend deferral of reappointment or not recommend reappointment, they must notify the applicant and provide a written summary of their concerns. The applicant then has ten (10) working days to meet with the reviewer(s) and/or to provide a written response. Any written response will become part of the application file and will be available to subsequent reviewers.

At all levels of review, the recommendation must include a written rationale, explaining how the applicant has met (or not met) the applicable criteria. If there is not sufficient detail provided in the recommendation, the next reviewer may request additional information or clarification.

Once a recommendation has been issued, it should be copied to the department chair and applicant. The applicant then has the option of providing an additional response. Responses must be received within five (5) working days following receipt of the recommendation and will become part of the application file and made available to subsequent reviewers.

PROFESSORIAL STREAM: REAPPOINTMENT

4.1.6. Appeal

Reappointment decisions are not subject to appeal, but procedural concerns are subject to grievance under the academic staff grievance process.

4.2. TENURE

Candidate and Chair/Director select external referees

(June 1)



Candidate submits application

(September 15)



Department Chair/Director issues recommendation

(September 30)



Faculty Review Committee issues recommendation

(November 30)



Dean issues recommendation

(December 31)



President makes decision

(February 28)

PROFESSORIAL STREAM: TENURE

4.2.1. Eligibility

Faculty members are normally considered for tenure in the fall term of the fifth year of their contract. Early consideration may occur in exceptional cases.

For example, a faculty member hired to a probationary tenure-track position in July 2019 would be eligible for reappointment in the Fall of 2021 and tenure in the Fall of 2023. If successful, their tenure takes effect July 2024.

4.2.2. Applying for Tenure and Promotion

Faculty members may apply for tenure and promotion at the same time. The applicant should submit a single application but must declare that they are applying for tenure and promotion in their cover letter. The application must also clearly demonstrate that the applicant has met the criteria for both tenure and promotion. Tenure timelines apply.

4.2.3. Timeline

June 1:	Department Chair/Director identifies four (4) appropriate external “arm’s length” referees in consultation with the applicant. The applicant must approve two (2) of the four (4) selected referees.
	Department Chair/Director confirms with the Faculty Review Committee that the referees are appropriate for the applicant and application.
	Department Chair/Director solicits letters from the four (4) selected referees using the appropriate template letter (Appendix A)
September 15:	Deadline for submission of application to the Dean including letters from external referees.
	The Dean’s Office develops and maintains a file inventory throughout the review process. Reviewers may remove the file from the Dean’s Office, but it must be returned once the review is complete.
September 30:	Department Chair/Director makes recommendation to the Dean.
November 30:	Faculty Review Committee makes recommendation to Dean.
December 31:	Dean makes recommendation to the President.
February 28:	President makes decision.

PROFESSORIAL STREAM: TENURE

4.2.4. Criteria

Tenure will be granted only when it can be firmly predicted that the applicant will, in consequence of a demonstrated commitment to intellectual and professional activity throughout their career, attain and maintain a high degree of academic proficiency. Applicants for tenure must demonstrate:

1. **Appropriate academic and professional qualifications**, as stated in the letter of appointment
 - a. The possession of appropriate degrees and/or certificates/diplomas; and
 - b. Appropriate experience in the discipline

2. **Satisfactory and effective teaching.** This may include but is not limited to:
 - a. Satisfactory teaching activities in lectures and/or seminars, laboratories, clinics
 - b. Effective supervision of students in remedial activities and/or elective activities, table clinics, other projects
 - c. Supervision of research personnel (staff and/or students) where appropriate
 - d. Appropriate preparation and presentation of material in courses of Continuing Education
 - e. Development of innovative approaches in teaching and/or education
 - f. Participation in professional development activities related to teaching

3. **Appropriate scholarly contribution to the discipline and the profession in one or more of the following five categories:**
 - a. Scholarship of discovery; and/or
 - b. Scholarship of integration; and/or
 - c. Scholarship of application; and/or
 - d. Scholarship of teaching; and/or
 - e. Traditional and/or cultural ways of knowing

Examples of appropriate scholarly contribution to the discipline and the profession may include but are not limited to:

- Papers accepted and/or published in refereed, learned or professional journals
- Published books or chapters in published books
- Presentations at conferences and learned/professional societies
- Professional development related to research activities
- Workshops: academic and/or industry; clinical; community
- Knowledge translation activities to relevant stakeholders (e.g. public, patient groups, policy makers)
- Continuing Education to the professional community
- Tool development
- Policy and/or regulation development
- Standards development
- Patents
- Technology Transfer and Communication
- Consulting/Research and Development Collaboration for/with Industry
- Procurement of grant revenues from external funding agencies or organizations
- Contributions to collaborative research and/or research teams

PROFESSORIAL STREAM: TENURE

4. **Ability and willingness to work with colleagues so that the academic units concerned function effectively**, as evidenced by:
 - a. Appropriate internal service. This may include but is not limited to:
 - Service as an administrator such as course director or coordinator
 - Service on standing and/or ad hoc committees at the departmental, faculty, senate or other university levels
 - Leading or participating in activities that enrich the university community
 - b. Appropriate external service. This may include but is not limited to:
 - Leadership role in local and/or provincial, national, international professional organizations or service on related committees
 - Service as a consultant, advisor or referee to local and/or provincial, national or international bodies concerned directly or indirectly with his/her discipline or profession
 - Service on editorial boards of professional journals
 - Professional contributions to the community

5. **Personal Integrity and Professionalism**
 - a. Faculty member in good standing with the Faculty of Dentistry, Dalhousie University and the Provincial Dental Board of Nova Scotia, where applicable; and
 - b. Demonstrates an ability to work with others collegially; and
 - c. Demonstrates the Faculty's Guiding Principles

4.2.5. Documentation

Reviewers will consider all of and only that documentation which is submitted in support of either an application or a recommendation. Application for tenure should include, but are not limited to:

- a) Cover letter for tenure application
- b) Curriculum vitae
- c) Teaching dossier, including but **not limited to**:
 - a. Student evaluations of teaching
 - b. Teaching philosophy
 - c. Sample course materials
 - d. Evidence of professional development activities related to teaching
- d) Scholarly dossier including but **not limited to**:
 - a. Summary of research program, accomplishments and future goals
 - b. Evidence of scholarly contributions to the discipline and profession
 - i. E.g. student mentorship, grant capture, publications, other knowledge translation activities
 - c. Samples of scholarly work
- e) Letters of recommendation from four (4) external referees
- f) Three letters of support from colleagues and/or stakeholders are encouraged.

4.2.6. Choosing Referees

All external referees should be “**arm's length**”, meaning they have no personal interest in the faculty member's tenure decision. Family, friends, romantic partners, past mentors and supervisors, and active research collaborators are not considered arm's length.

PROFESSORIAL STREAM: TENURE

4.2.7. Review Process

Applications for tenure are first reviewed by the Department Chair/Director. The application is then referred to the Faculty Review Committee, which will then make a recommendation to the Dean. The Dean makes a recommendation to the President. The President makes the final decision.

At each level of review, the reviewer(s) can choose to:

- a) recommend tenure,
- b) recommend deferral of tenure
- c) not recommend tenure.

If the reviewer(s) anticipate they will recommend deferral of tenure or not recommend tenure, they must notify the applicant and provide a written summary of their concerns. The applicant then has ten (10) working days to meet with the reviewer(s) or to provide a written response. Any written response will become part of the application file and will be available to subsequent reviewers.

At all levels of review, the recommendation must include a written rationale, explaining how the applicant has met (or not met) the applicable criteria. If there is not sufficient detail provided in the recommendation, the next reviewer may request additional information or clarification.

Once a recommendation has been issued, it should be copied to the applicant. The applicant then has the option of providing an additional response. Responses must be received within five (5) working days following receipt of the recommendation and will become part of the application file and made available to subsequent reviewers.

If the Dean and the Faculty-level committee do not agree, they will meet and attempt to reach a decision with which they both agree. At this time, the Faculty Review Committee may elect to submit a revised recommendation. Both the original recommendation and the revised recommendation will remain part of the applicant's file. If the Dean and the Faculty Review Committee meet and are not able to agree, the President may choose to meet with the Dean and the Faculty Review Committee before issuing a final recommendation.

If the Faculty Review Committee recommends that tenure be granted or that the case be deferred and if the Dean recommends otherwise, the applicant shall have the right to initiate, by writing to the President, no earlier than 14 days after notice of the Dean's recommendation and no later than 21 days after the notice, reconsideration of the matter by a University Tenure Committee. The President also must convene a University Tenure Committee before rejecting a positive recommendation from the Dean for tenure or for deferral of tenure.

4.2.8. Appeal

Tenure decisions are subject to appeal, where appropriate. The University Tenure Committee (UTC) is convened to hear appeals of negative tenure decisions and consists of three faculty members selected from a standing panel appointed by Senate.

Initiating an Appeal

PROFESSORIAL STREAM: TENURE

1. The faculty member or the President may initiate a University Tenure Committee (UTC) review.
 - a. The President is required to seek a UTC review before rejecting a recommendation from the Dean for tenure or deferral and making a less favorable recommendation to the faculty member.
 - i. The President initiates a UTC review by submitting written notice to the faculty member and to the Chair of Senate.
 - ii. Written notice must be provided within fourteen (14) days of the release of the Dean's recommendation.
 - iii. Written notice should include:
 1. the name of the faculty member;
 2. a copy of the Dean's recommendation; and
 3. the grounds for initiating the review
 - b. The faculty member can seek a UTC review if the Faculty Tenure Committee recommendation differs from the recommendation of the Dean.
 - i. The faculty member initiates a UTC review by submitting written notice to the President and to the Chair of Senate.
 - ii. Written notice must be provided between fourteen (14) and twenty-one (21) days of the release of the Dean's recommendation.
 - iii. Written notice should include:
 1. the name of the faculty member;
 2. a copy of the Dean's recommendation and the Faculty Tenure Committee's recommendation; and
 3. the grounds for initiating the review
2. Within fourteen (14) days of the initiation of a UTC review, both the faculty member and the President must provide their Committee nominations in writing to the Secretary of Senate. Nominees must be selected from the standing panel of members appointed by Senate.
 - a. The President nominates a member of UTC
 - b. The faculty member nominates a member of UTC
 - c. The two nominees, together, nominate the Chair of UTC
3. The parties to a UTC review are the University and the faculty member. The President designates one or more University representatives to participate in the proceeding.
4. The Chair of Senate, or designate, acts as facilitator of UTC. Once the membership of UTC has been established, the Chair of Senate will ensure the faculty member, the University representative, and UTC all have access to the faculty member's tenure file.
 - a. If needed to ensure fairness and consistency, UTC may access special files pertaining to tenure of other candidates within the same Faculty or other such units in the same and preceding academic year.

UTC Review Process

5. The UTC reviews the faculty member's tenure file
6. The University and the faculty member may make written or oral submissions.

PROFESSORIAL STREAM: TENURE

- a. Submissions from the faculty member should contain supporting arguments as to why tenure should be granted.
7. If submissions are made, parties should be given the opportunity to know and respond to submissions, orally or in writing.
8. Appropriate timelines for submissions and responses are set by the Chair of UTC. Timelines should allow parties adequate time to consider and respond to submissions.
9. UTC is not an investigative body. It does not unilaterally solicit information to supplement the information already provided. Any relevant materials not already contained in the faculty member's tenure file should be provided to UTC.
 - a. Parties to a UTC proceeding must also be provided with copies of all materials shared with UTC.
 - b. Deadlines for submitting relevant materials are set by the Chair of UTC.

UTC Report

10. After considering all representations made on the matter, UTC drafts a report.
 - a. This report should include:
 - i. UTC's conclusions on the matter;
 - ii. any appropriate recommendations; and
 - iii. a statement of reasons
 - b. The report must be distributed to the President, the faculty member, and the Board of Governors no later than July 15.
11. If UTC is not unanimous, the decision of the majority is deemed to be the decision of the Committee.
12. The President will consider UTC's report before making a decision on behalf of the Board of Governors.

4.3. PROMOTION TO ASSOCIATE PROFESSOR

Candidate and Chair/Director select external referees

(June 1)



Candidate submits application

(September 15)



Department Chair/Director issue recommendation

(November 30)



Faculty Review Committee issues recommendation

(February 15)



Dean issues recommendation

(March 31)



President makes decision

(May 31)

PROFESSORIATE STREAM: PROMOTION

4.3.1. Eligibility

Normally, faculty members are eligible for promotion to Associate Professor in the Fall term of their fifth year as an Assistant Professor. Applicants typically apply for tenure and promotion to Associate Professor at the same time. Early consideration may occur in exceptional cases.

For example, a faculty member hired to a probationary tenure-track position in July 2019, at the Assistant Professor rank, would be eligible for promotion to Associate Professor in the Fall of 2023.

4.3.2. Timeline

June 1:	Department Chair/Director identifies four (4) appropriate external “arm’s length” referees in consultation with the applicant. The applicant must approve two (2) of the four (4) selected referees.
	Department Chair/Director confirms with the Faculty Review Committee that the referees are appropriate for the applicant and application.
	Department Chair/Director solicits letters from the four (4) selected referees using template letter (Appendix A)
September 15:	Deadline for submission of application to the Dean including letters from external referees.
	The Dean’s Office develops and maintains a file inventory throughout the review process. Reviewers may remove the file from the Dean’s Office but it must be returned once the review is complete.
November 30:	Department Chair/Director makes recommendation to the Dean.
February 15:	Faculty Review Committee makes recommendation to Dean.
March 31:	Dean makes recommendation to the President.
May 31:	President makes decision.

**If an applicant applies for tenure and promotion to Associate Professor, the tenure timelines apply to the review process.*

4.3.3. Criteria

Promotion will be granted when there is positive evidence of actual achievement and accomplishment. In the case of promotion to Associate Professor, there must be evidence the applicant is likely to maintain a high level of effectiveness in teaching and/or scholarship. Applicants for promotion to Associate Professor must demonstrate:

1. **Appropriate academic and professional qualifications**, as stated in the letter of appointment

PROFESSORIAL STREAM: PROMOTION

- a. The possession of appropriate degrees and/or certificates/diplomas; and
 - b. Appropriate experience in the discipline
2. **Satisfactory and effective teaching.** This may include but is **not limited to**:
- a. Effective teaching activities in lectures and/or seminars, laboratories, clinics
 - b. Effective supervision of students in remedial activities and/or elective activities, table clinics, other projects
 - c. Effective supervision of research personnel (staff and/or students), with evidence of training program completion where appropriate and/or trainee awards
 - d. Appropriate preparation and presentation of material in courses of Continuing Education
 - e. Development of innovative approaches in teaching and/or education
 - f. Participation in professional development activities related to teaching
3. **Significant scholarly contribution to the discipline and the profession in one or more of the following five categories:**
- a. Scholarship of discovery; and/or
 - b. Scholarship of integration; and/or
 - c. Scholarship of application; and/or
 - d. Scholarship of teaching; and/or
 - e. Traditional and/or cultural ways of knowing

Examples of appropriate scholarly contribution to the discipline and the profession may include but are **not limited to**:

- A consistent record of papers accepted and/or published in refereed, learned or professional journals
- Published books or chapters in published books
- Presentations at conferences and learned/professional societies
- Professional development related to research activities
- Knowledge translation activities to relevant stakeholders (e.g. public, patient groups, policy makers)
- Continuing Education to the professional community
- Tool development
- Policy and/or regulation development
- Standards development
- Patents
- Technology Transfer and Communication
- Consulting/Research and Development Collaboration for/with Industry
- Application to provincial and federal funding programs
- Procurement of grant revenues from external funding agencies or organizations
- Contributions to collaborative research and/or research teams

4. **Ability and willingness to work with colleagues so that the academic units concerned function effectively,** as evidenced by:
- a. Appropriate internal service. This may include but is not limited to:
 - Service as an administrator such as course director, division head, department chair, school director, clinic coordinator, or assistant dean
 - Service on standing and/or ad hoc committees at the departmental, faculty, senate or

PROFESSORIAL STREAM: PROMOTION

- other university levels
- Leadership or participation in activities that enrich the university community

- b. Appropriate external service. This may include but is not limited to:
 - Leadership role in local and/or provincial, national, international professional organizations or service on related committees
 - Service as a consultant, advisor or referee to local and/or provincial, national or international bodies concerned directly or indirectly with his/her discipline or profession
 - Service on editorial boards of professional journals
 - Professional contributions to the community

5. **Personal Integrity and Professionalism**

- a. Faculty member in good standing with the Faculty of Dentistry, Dalhousie University and the Provincial Dental Board of Nova Scotia, where applicable; and
- b. Demonstrates an ability to work with others collegially; and
- c. Demonstrates the Faculty's Guiding Principles

4.3.4. Documentation

Reviewers will consider all of and only that documentation which is submitted in support of either an application or a recommendation. Application for tenure should include, but are not limited to:

- a) Cover letter for tenure application
- b) Curriculum vitae
- c) Teaching dossier, including but **not limited to**:
 - i. Student evaluations of teaching
 - ii. Teaching philosophy
 - iii. Sample course materials
 - iv. Evidence of professional development activities related to teaching
- d) Scholarly dossier including but **not limited to**:
 - i. Summary of research program, accomplishments and future goals
 - ii. Evidence of scholarly contributions to the discipline and profession
 - E.g. student mentorship, grant capture, publications, other knowledge translation activities
 - iii. Samples of scholarly work
- e) Letters of recommendation from four (4) external referees
- f) Three letters of support from colleagues and/or stakeholders are encouraged.

4.3.5. Choosing Referees

All external referees should be “**arm's length**”, meaning they have no personal interest in the faculty member's tenure decision. Family, friends, romantic partners, past mentors and supervisors, and active research collaborators are not considered arm's length.

PROFESSORIAL STREAM: PROMOTION

4.3.6. Review Process

Applications for promotion are first reviewed by the Department Chair/Director. The application is then referred to the Faculty Review Committee, which will then make a recommendation to the Dean. The Dean makes a recommendation to the President. The President makes the final decision.

At each level of review, the reviewer(s) can choose to:

- a) recommend promotion, or
- b) not recommend promotion

If the reviewer(s) anticipate they will not recommend promotion, they must notify the applicant and provide a written summary of their concerns. The applicant then has ten (10) working days to meet with the reviewer(s) and/or to provide a written response. Any written response will become part of the application file and will be available to subsequent reviewers.

At all levels of review, the recommendation must include a written rationale, explaining how the applicant has met (or not met) the applicable criteria. If there is not sufficient detail provided in the recommendation, the next reviewer may request additional information or clarification.

Once a recommendation has been issued, it should be copied to the applicant. The applicant then has the option of providing an additional response. Responses must be received within five (5) working days following receipt of the recommendation and will become part of the application file and made available to subsequent reviewers.

If the Dean and the Faculty-level committee do not agree, they will meet and attempt to reach a decision with which they both agree. At this time, the Faculty Review Committee may elect to submit a revised recommendation. Both the original recommendation and the revised recommendation will remain part of the applicant's file. If the Dean and the Faculty Review Committee meet and are not able to agree, the President may choose to meet with the Dean and the Faculty Review Committee before issuing a final recommendation.

4.3.7. Appeal

The University Promotion Appeal Committee (UPAC) is convened to hear appeals of negative promotion decisions and consists of three members selected from a standing panel appointed by Senate.

Not every promotion file can be appealed. Promotion files with conflicting recommendations are the only promotion files eligible for review. Members cannot appeal decisions where the Head or Director, the Faculty Committee, and the Dean concur that promotion ought to be denied.

Initiating Proceedings

1. A Member who is denied promotion may appeal to UPAC to overturn the negative decision.
 - a. Members cannot appeal decisions where the Department or similar unit Committee, the Chairperson, Head or Director, the Faculty Committee, and the Dean concur that promotion ought to be denied.

PROFESSORIAL STREAM: PROMOTION

2. The Member initiates the appeal process by submitting written notice to the President within 21 days of receiving the negative promotion decision, with copies to the Chair of Senate. Written notice should include:
 - a. the name of the Member;
 - b. a copy of the decision being appealed; and
 - c. the grounds for initiating the review

Convening the UPAC

3. Within fourteen (14) days of the initiation of a UPAC appeal, both the Member and the President must provide their Committee nominations in writing to the Secretary of Senate. Nominees must be selected from the standing panel of twelve (12) members appointed by Senate.
 - a. The President nominates a member of UPAC
 - b. The Member nominates a member of UPAC
 - c. The two nominees, together, nominate the Chair of UPAC
4. The parties to a UPAC appeal are the President and the Member. The President may designate one or more representatives to participate in the proceeding.
5. The Chair of Senate, or designate, acts as facilitator of UPAC. Once the membership of UPAC has been established, the Chair of Senate will ensure the Member, the President or President's representative, and UPAC all have access to the Member's promotion file.
 - a. To ensure fairness and consistency, UPAC can access special files pertaining to promotion of other candidates within the same Faculty or other such units in the same and preceding academic year.

UPAC Review Process

6. UPAC reviews the Member's file and considers whether the Member has met the appropriate criteria and standards for promotion to the rank in question.
7. For consistency, UPAC may review the promotion files of other candidates within the same Faculty or unit in the same and preceding year.
8. UPAC may invite persons considered appropriate by the Committee to make representations to the Committee.
 - a. Those invited by the Committee may only make representations relating to their review or area of expertise. Invited persons should not comment on the reviews made by others as part of the promotion process.
9. The President, or the President's representative, and the Member may request to make written or oral submissions.
 - a. Submissions from the Member should contain supporting arguments as to why promotion should be granted.
10. If submissions are made, parties should be given the opportunity to know and respond to submissions, orally or in writing.

PROFESSORIAL STREAM: PROMOTION

11. Appropriate timelines for submissions and responses are set by the Chair of UPAC. Timelines should allow parties adequate time to consider and respond to submissions.
12. UPAC is not an investigative body. It does not unilaterally solicit information to supplement the information already provided. Any relevant materials not already contained in the Member's promotion file should be provided to UPAC.
 - a. Parties to a UPAC proceeding must also be provided with copies of all materials shared with UPAC.
 - b. Deadlines for submitting relevant materials are set by the Chair of UPAC.

UPAC Report

13. After considering all submissions made on the matter, UPAC reports its findings in writing.
 - a. This report should include:
 - i. UPAC's conclusion as to whether the Member has met the appropriate criteria and standards for promotion;
 - ii. any appropriate recommendations; and
 - iii. a statement of reasons
 - b. The report must be distributed to the President and the Member no later than four (4) months following the establishment of the Committee.
14. If UPAC is not unanimous, the decision of the majority is deemed to be the decision of the Committee.
15. The decision of UPAC is binding on the Member, the President and the Board.

4.4. PROMOTION TO FULL PROFESSOR

Candidate and Chair/Director select external referees

(June 1)



Candidate submits application

(September 15)



Department Chair/Director issue recommendation

(November 30)



Faculty Review Committee issues recommendation

(February 15)



Dean issues recommendation

(March 31)



President makes decision

(May 31)

PROFESSORIATE STREAM: PROMOTION

4.4.1. Eligibility

Normally, faculty members are eligible for promotion to Professor after having served five years at the Associate Professor rank. Early consideration may occur in exceptional cases.

For example, a faculty member promoted to Associate Professor in July 2019 would apply for promotion to Professor in the Fall of 2023.

4.4.2. Timeline

June 1:	Department Chair/Director identifies four (4) appropriate external “arm’s length” referees in consultation with the applicant. The applicant must approve two (2) of the four (4) selected referees.
	Department Chair/Director confirms with the Faculty Review Committee that the referees are appropriate for the applicant and application.
	Department Chair/Director solicits letters from the four (4) selected referees using template letter (Appendix A)
September 15:	Deadline for submission of application to the Dean including letters from external referees.
	The Dean’s Office develops and maintains a file inventory throughout the review process. Reviewers may remove the file from the Dean’s Office but it must be returned once the review is complete.
November 30:	Department Chair/Director makes recommendation to the Dean.
February 15:	Faculty Review Committee makes recommendation to Dean.
March 31:	Dean makes recommendation to the President.
May 31:	President makes decision.

4.4.3. Criteria

Promotion will be granted when there is positive evidence of actual achievement and accomplishment. In the case of promotion to Full Professor, there must be solid evidence the applicant has attained and are likely to maintain a high level of effectiveness in teaching and/or scholarship and that teaching and/or scholarship represents a significant contribution to the applicant’s discipline beyond the University level. Applicants for promotion to Full Professor must demonstrate:

1. **Appropriate academic and professional qualifications**, as stated in the letter of appointment
 - a. The possession of appropriate degrees and/or certificates/diplomas; and
 - b. Appropriate experience in the discipline

PROFESSORIAL STREAM: PROMOTION

2. **A demonstrated pattern of satisfactory and effective teaching.** This may include but is not limited to:
 - a. Effective teaching activities in lectures and/or seminars, laboratories, clinics Effective supervision of students in remedial activities and/or elective activities, table clinics, other projects
 - b. A track record of effective supervision of research personnel (staff and/or students), with consistent and/or subsequent career advancement
 - c. Appropriate preparation and presentation of material in courses of Continuing Education
 - d. Development of innovative approaches in teaching and/or education
 - e. Participation in professional development activities related to teaching

3. **Clear evidence of significant scholarly contribution to, and impact on, the discipline and the profession nationally and/or internationally in one or more of the following five categories:**
 - a. Scholarship of discovery; and/or
 - b. Scholarship of integration; and/or
 - c. Scholarship of application; and/or
 - d. Scholarship of teaching; and/or
 - e. Traditional and/or cultural ways of knowing

Examples of appropriate scholarly contribution to the discipline and the profession may include but are not limited to:

- Papers accepted and/or published in refereed, learned or professional journals
- Published books or chapters in published books
- *Invited* presentations at conferences and learned/professional societies
- Professional development related to research activities
- Knowledge translation activities to relevant stakeholders (e.g. public, patient groups, policy makers)
- Continuing Education to the professional community
- Tool development
- Policy and/or regulation development
- Standards development
- Patents
- Technology Transfer and Communication
- Consulting/Research and Development Collaboration for/with Industry
- Application to provincial and federal funding programs
- Procurement of grant revenues from external funding agencies or organizations
- Contributions to collaborative research and/or research teams

4. **Ability and willingness to work with colleagues so that the academic units concerned function effectively,** as evidenced by:
 - a. Appropriate internal leadership. This may include but is not limited to:
 - Chair or leadership role on standing and/or ad hoc committees at the departmental, faculty, senate or other university levels

 - b. Appropriate external leadership. This may include but is not limited to:
 - Leadership role in local and/or provincial, national, international professional organizations or service on related committees

PROFESSORIAL STREAM: PROMOTION

- Service as a consultant, advisor or referee to local and/or provincial, national or international bodies concerned directly or indirectly with his/her discipline or profession
- Service on editorial boards of professional journals
- Professional contributions to the community

6. **Personal Integrity and Professionalism**

- a. Faculty member in good standing with the Faculty of Dentistry, Dalhousie University and the Provincial Dental Board of Nova Scotia, where applicable; and
- b. Demonstrates an ability to work with others collegially; and
- c. Demonstrates the Faculty's Guiding Principles

4.4.4. Documentation

Reviewers will consider all of and only that documentation which is submitted in support of either an application or a recommendation. Application for promotion should include, but is **not limited to**:

- a) Cover letter summarizing how the applicant meets the qualifications for promotion
- b) Curriculum vitae
- c) Teaching dossier, including but not limited to:
 - a. Teaching philosophy
 - b. Evidence of
 - i. Teaching excellence
E.g. summary of evaluations by students, colleagues
 - ii. Innovation in teaching and/or evaluation
E.g. new course development, significant modification of course, development and/or introduction of new teaching methods/materials, evaluation schemes
 - iii. Leadership in education
E.g. teaching awards, membership on national/international committees/organizations
 - iv. Pedagogical scholarship
E.g. student mentorship, grant capture, publications, other knowledge translation activities related to teaching and learning
 - v. Professional development activities related to teaching and learning
- d) Scholarly dossier including but **not limited to**:
 - a. Summary of research program, accomplishments and future goals
 - b. Evidence of scholarly contributions to the discipline and profession
 - i. E.g. student mentorship, grant capture, publications, other knowledge translation activities
 - c. Samples of scholarly work

Three letters of recommendation from external referees

Letters of support from colleagues and/or stakeholders are encouraged.

PROFESSORIAL STREAM: PROMOTION

4.4.5. Choosing Referees

All external referees should be “**arm’s length**”, meaning they have no personal interest in the faculty member’s tenure decision. Family, friends, romantic partners, past mentors and supervisors, and active research collaborators are not considered arm’s length.

4.4.6. Review Process

Applications for promotion are first reviewed by the Department Chair/Director. The application is then referred to the Faculty Review Committee, which will then make a recommendation to the Dean. The Dean makes a recommendation to the President. The President makes the final decision.

At each level of review, the reviewer(s) can choose to:

- a) recommend promotion, or
- b) not recommend promotion

If the reviewer(s) anticipate they will not recommend promotion, they must notify the applicant and provide a written summary of their concerns. The applicant then has ten (10) working days to meet with the reviewer(s) and/or to provide a written response. Any written response will become part of the application file and will be available to subsequent reviewers.

At all levels of review, the recommendation must include a written rationale, explaining how the applicant has met (or not met) the applicable criteria. If there is not sufficient detail provided in the recommendation, the next reviewer may request additional information or clarification.

Once a recommendation has been issued, it should be copied to the applicant. The applicant then has the option of providing an additional response. Responses must be received within five (5) working days following receipt of the recommendation and will become part of the application file and made available to subsequent reviewers.

If the Dean and the Faculty-level committee do not agree, they will meet and attempt to reach a decision with which they both agree. At this time, the Faculty Review Committee may elect to submit a revised recommendation. Both the original recommendation and the revised recommendation will remain part of the applicant’s file. If the Dean and the Faculty Review Committee meet and are not able to agree, the President may choose to meet with the Dean and the Faculty Review Committee before issuing a final recommendation.

4.4.7. Appeal

The University Promotion Appeal Committee (UPAC) is convened to hear appeals of negative promotion decisions and consists of three members selected from a standing panel appointed by Senate.

Not every promotion file can be appealed. Promotion files with conflicting recommendations are the only promotion files eligible for review. Members cannot appeal decisions where the Head or Director, the Faculty Committee, and the Dean concur that promotion ought to be denied.

Initiating Proceedings

1. A Member who is denied promotion may appeal to UPAC to overturn the negative decision.

PROFESSORIAL STREAM: PROMOTION

- a. Members cannot appeal decisions where the Department or similar unit Committee, the Chairperson, Head or Director, the Faculty Committee, and the Dean concur that promotion ought to be denied.
2. The Member initiates the appeal process by submitting written notice to the President within 21 days of receiving the negative promotion decision, with copies to the Chair of Senate. Written notice should include:
 - a. the name of the Member;
 - b. a copy of the decision being appealed; and
 - c. the grounds for initiating the review

Convening the UPAC

3. Within fourteen (14) days of the initiation of a UPAC appeal, both the Member and the President must provide their Committee nominations in writing to the Secretary of Senate. Nominees must be selected from the standing panel of twelve (12) members appointed by Senate.
 - a. The President nominates a member of UPAC
 - b. The Member nominates a member of UPAC
 - c. The two nominees, together, nominate the Chair of UPAC
4. The parties to a UPAC appeal are the President and the Member. The President may designate one or more representatives to participate in the proceeding.
5. The Chair of Senate, or designate, acts as facilitator of UPAC. Once the membership of UPAC has been established, the Chair of Senate will ensure the Member, the President or President's representative, and UPAC all have access to the Member's promotion file.
 - a. To ensure fairness and consistency, UPAC can access special files pertaining to promotion of other candidates within the same Faculty or other such units in the same and preceding academic year.

UPAC Review Process

6. UPAC reviews the Member's file and considers whether the Member has met the appropriate criteria and standards for promotion to the rank in question.
7. For consistency, UPAC may review the promotion files of other candidates within the same Faculty or unit in the same and preceding year.
8. UPAC may invite persons considered appropriate by the Committee to make representations to the Committee.
 - a. Those invited by the Committee may only make representations relating to their review or area of expertise. Invited persons should not comment on the reviews made by others as part of the promotion process.
9. The President, or the President's representative, and the Member may request to make written or oral submissions.

PROFESSORIAL STREAM: PROMOTION

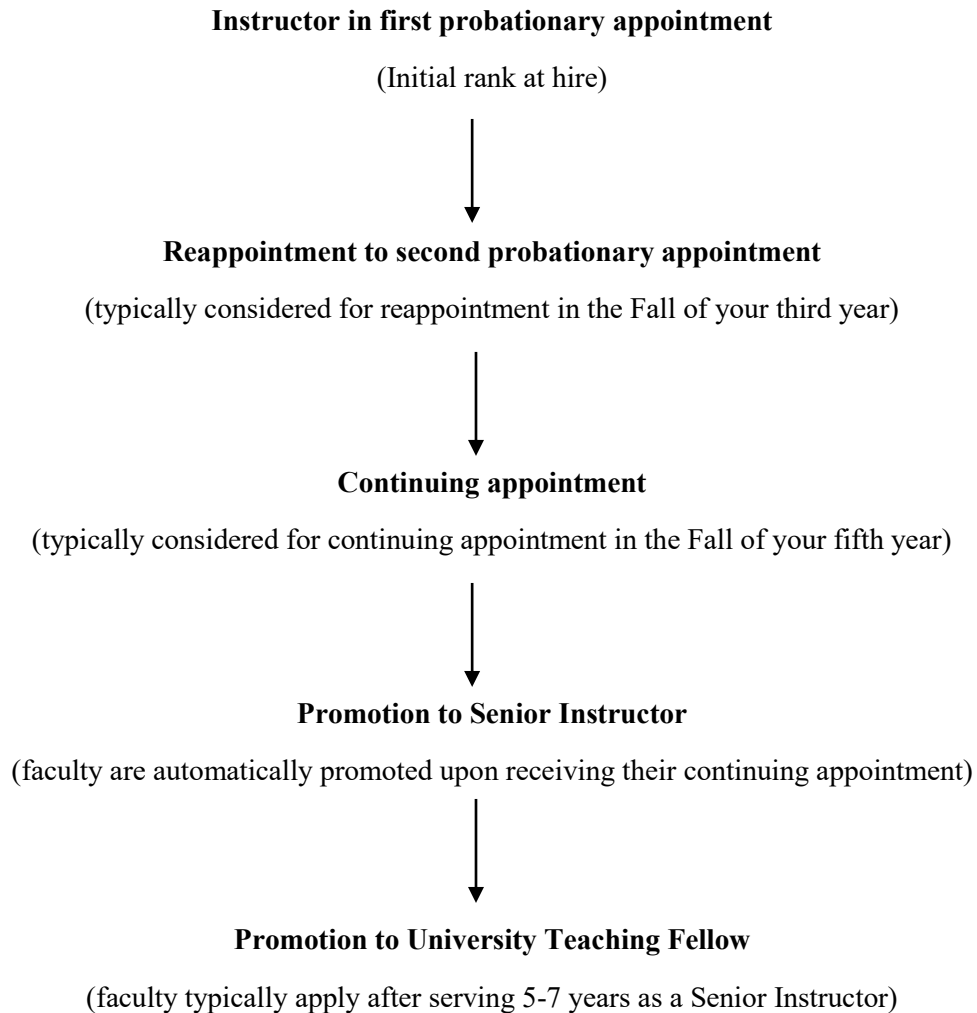
- a. Submissions from the Member should contain supporting arguments as to why promotion should be granted.
10. If submissions are made, parties should be given the opportunity to know and respond to submissions, orally or in writing.
 11. Appropriate timelines for submissions and responses are set by the Chair of UPAC. Timelines should allow parties adequate time to consider and respond to submissions.
 12. UPAC is not an investigative body. It does not unilaterally solicit information to supplement the information already provided. Any relevant materials not already contained in the Member's promotion file should be provided to UPAC.
 - a. Parties to a UPAC proceeding must also be provided with copies of all materials shared with UPAC.
 - b. Deadlines for submitting relevant materials are set by the Chair of UPAC.

UPAC Report

13. After considering all submissions made on the matter, UPAC reports its findings in writing.
 - a. This report should include:
 - i. UPAC's conclusion as to whether the Member has met the appropriate criteria and standards for promotion;
 - ii. any appropriate recommendations; and
 - iii. a statement of reasons
 - b. The report must be distributed to the President and the Member no later than four (4) months following the establishment of the Committee.
14. If UPAC is not unanimous, the decision of the majority is deemed to be the decision of the Committee.
15. The decision of UPAC is binding on the Member, the President and the Board.

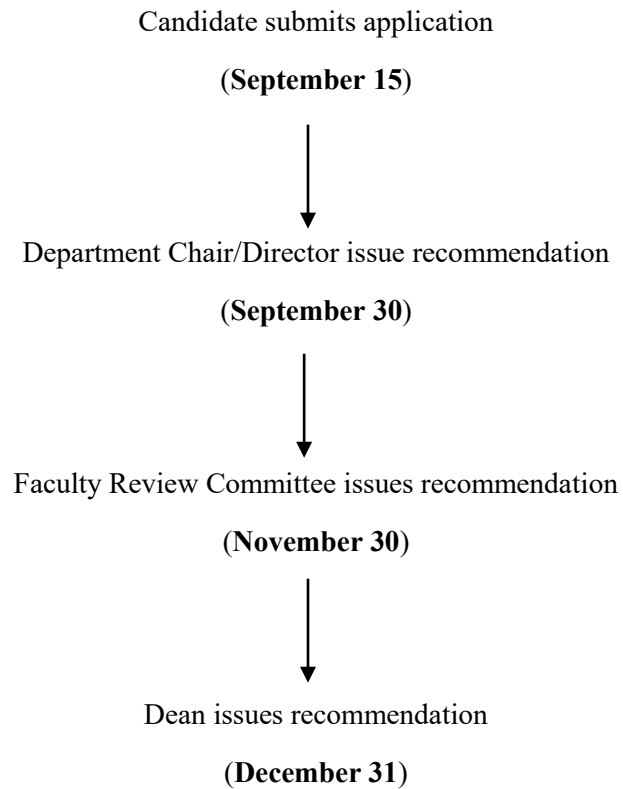
5. INSTRUCTOR STREAM

This stream is reserved for faculty members who are not involved in significant programs of research and who dedicate the majority of their time to teaching and clinic instruction. Faculty members in this stream are typically hired at the Instructor rank and normally progress as follows:



**Please note, these are general patterns. Exceptions may apply.*

5.1. REAPPOINTMENT TO SECOND PROBATIONARY APPOINTMENT



5.1.1. Eligibility

Faculty members are normally considered for reappointment from a 1st probationary appointment to a 2nd probationary appointment in the fall term of the third year of their contract. Early consideration may occur in exceptional cases.

For example, a faculty member hired to a 1st probationary appointment in July 2019 would be eligible for consideration for reappointment to a 2nd probationary appointment in the Fall of 2021. If successful, their reappointment would take effect July 1, 2022.

5.1.2. Timeline

September 15:	Deadline for submission of application to the Dean.
	The Dean's Office develops and maintains a file inventory throughout the review process. Reviewers may remove the file from the Dean's Office but it must be returned once the review is complete.
September 30:	Department Chair/Director makes recommendations to Dean.
November 30:	Faculty Review Committee makes recommendation to Dean.
December 31:	Dean makes final decision.

5.1.3. Criteria

1. **Appropriate academic and professional qualifications**, as stated in the letter of appointment
 - a. The possession of appropriate degrees and/or certificates/diplomas; and
 - b. Appropriate experience in the discipline
2. **Satisfactory and effective teaching**. This may include but is not limited to:
 - a. Satisfactory teaching activities in lectures and/or seminars, laboratories, clinics
 - b. Effective supervision of students in remedial activities and/or elective activities, table clinics, other projects
 - c. Appropriate preparation and presentation of material in courses of Continuing Education
 - d. Development of innovative approaches in teaching and/or education
 - e. Participation in professional development activities related to teaching
3. **Ability and willingness to work with colleagues so that the academic units concerned function effectively**, as evidenced by:
 - a. Appropriate internal service. This may include but is not limited to:
 - Service on standing and/or ad hoc committees at the departmental, faculty, senate or other university levels
 - b. Appropriate external service. This may include but is not limited to:
 - Member in local and/or provincial, national, international professional organizations or

- service on related committees
- Service as a consultant, advisor or referee to local and/or provincial, national or international bodies concerned directly or indirectly with his/her discipline or profession
- Service on editorial boards of professional journals
- Professional contributions to the community

4. **Personal Integrity and Professionalism**

- a. Faculty member in good standing with the Faculty of Dentistry, Dalhousie University and the Provincial Dental Board of Nova Scotia, where applicable; and
- b. Demonstrates an ability to work with others collegially; and
- c. Demonstrates the Faculty's Guiding Principles

5.1.4. **Documentation**

Reviewers will consider all of and only that documentation which is submitted in support of either an application or a recommendation. Applications for reappointment should include, but are not limited to:

- a) Cover letter for reappointment application
- b) Curriculum vitae, including evidence of internal and external service
- c) Teaching dossier, including but not limited to:
 - a. Teaching philosophy
 - b. Evidence of
 - i. Teaching excellence
E.g. summary of evaluations by students, colleagues
 - ii. Innovation in teaching and/or evaluation
E.g. new course development, significant modification of course, development and/or introduction of new teaching methods/materials, evaluation schemes
 - iii. Leadership in education
E.g. teaching awards, membership on national/international committees/organizations
 - iv. Pedagogical scholarship
E.g. student mentorship, grant capture, publications, other knowledge translation activities related to teaching and learning
 - v. Professional development activities related to teaching and learning

Three letters of support from colleagues and/or stakeholders are encouraged.

5.1.5. **Review Process**

Applications for reappointment are first reviewed by the Department Chair/Director. The application is then referred to the Faculty Review Committee, which will then make a recommendation to the Dean. The Dean makes the final decision.

At each level of review, the reviewer(s) can choose to:

- a) recommend reappointment;
- b) recommend deferral of reappointment; or
- c) not recommend reappointment

If the reviewer(s) anticipate they will recommend deferral of reappointment or not recommend reappointment, they must notify the applicant and provide a written summary of their concerns. The applicant then has ten (10) working days to meet with the reviewer(s) or to provide a written response. Any written response will become part of the application file and will be available to subsequent reviewers.

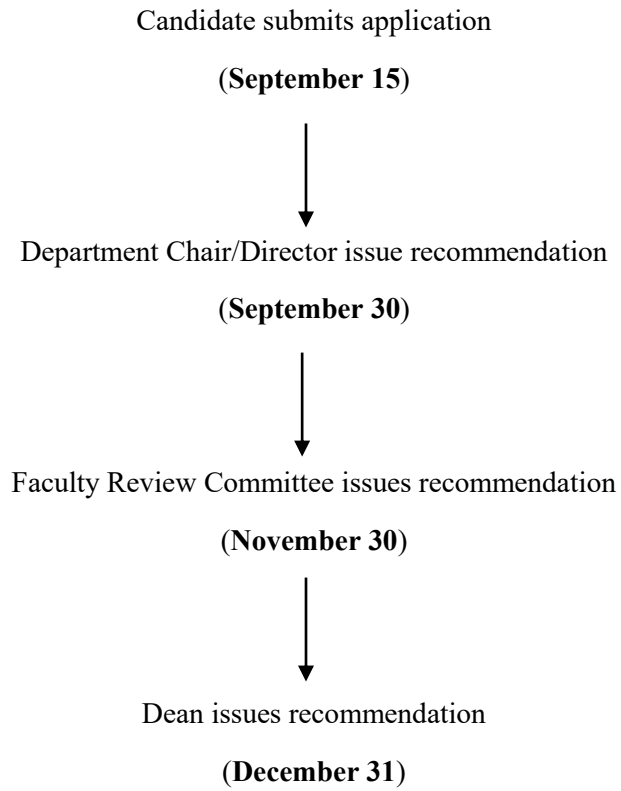
At all levels of review, the recommendation must include a written rationale, explaining how the applicant has met (or not met) the applicable criteria. If there is not sufficient detail provided in the recommendation, the next reviewer may request additional information or clarification.

Once a recommendation has been issued, it should be copied to the applicant. The applicant then has the option of providing an additional response. Responses must be received within five (5) working days following receipt of the recommendation and will become part of the application file and made available to subsequent reviewers.

5.1.6. Appeal

Reappointment decisions are not subject to appeal but procedural concerns are subject to grievance.

5.2. CONTINUING APPOINTMENT



5.2.1. Eligibility

Faculty members, in instructor-stream positions, are normally considered for continuing appointment in the fall term of the fifth year of their contract. Early consideration may occur in exceptional cases.

For example, a faculty member hired to a 1st probationary instructor-stream position in July 2019 would be eligible for reappointment in the Fall of 2021 and continuing appointment in the Fall of 2023. If successful, their continuing appointment takes effect July 2024.

5.2.2. Applying for Continuing Appointment and Promotion

Faculty members are considered for continuing appointment and promotion to Senior Instructor at the same time. If a faculty member is granted a continuing appointment, they will be automatically promoted to Senior Instructor.

5.2.3. Timeline

September 15:	Deadline for submission of application to the Dean.
	The Dean's Office develops and maintains a file inventory throughout the review process. Reviewers may remove the file from the Dean's Office but it must be returned once the review is complete.
September 30:	Department Chair/Director makes recommendations to Dean.
November 30:	Faculty Review Committee makes recommendation to Dean.
December 31:	Dean makes final decision.

5.2.4. Criteria

Continuing Appointment test: Continuing appointment will be granted when there is positive evidence the effectiveness and general competence with which teaching and other primary duties and responsibilities are being carried out by the applicant are at the norm for other instructors within the Faculty. Applicants for continuing appointment must demonstrate:

1. **Appropriate academic and professional qualifications**, as stated in the letter of appointment
 - a. The possession of appropriate degrees and/or certificates/diplomas; and
 - b. Appropriate experience in the discipline
2. **Proficient and effective teaching.** This may include but is not limited to:
 - a. Proficient teaching activities in lectures and/or seminars, laboratories, clinics
 - b. Effective supervision of students in remedial activities and/or elective activities, table clinics, other projects
 - c. Appropriate preparation and presentation of material in courses of Continuing Education
 - d. Development of innovative approaches in teaching and/or education

- e. Participation in professional development activities related to teaching
3. **Ability and willingness to work with colleagues so that the academic units concerned function effectively**, as evidenced by:
- a. Appropriate internal service. This may include but is not limited to:
 - Service on standing and/or ad hoc committees at the departmental, faculty, senate or other university levels
 - b. Appropriate external service. This may include but is not limited to:
 - Member in local and/or provincial, national, international professional organizations or service on related committees
 - Service as a consultant, advisor or referee to local and/or provincial, national or international bodies concerned directly or indirectly with his/her discipline or profession
 - Service on editorial boards of professional journals
 - Professional contributions to the community
4. **Personal Integrity and Professionalism**
- a. Faculty member in good standing with the Faculty of Dentistry, Dalhousie University and the Provincial Dental Board of Nova Scotia, where applicable; and
 - b. Demonstrates an ability to work with others collegially; and
 - c. Demonstrates the Faculty's Guiding Principles

5.2.5. Documentation

Reviewers will consider all of and only that documentation which is submitted in support of either an application or a recommendation. Applications for continuing appointments should include, but are not limited to:

- a) Cover letter for continuing appointment application
- b) Curriculum vitae
- c) Teaching dossier, including but **not limited to**:
 - a. Teaching philosophy
 - b. Evidence of
 - i. Teaching excellence
 - E.g. summary of evaluations by students, colleagues
 - ii. Innovation in teaching and/or evaluation
 - E.g. new course development, significant modification of course, development and/or introduction of new teaching methods/materials, evaluation schemes
 - iii. Leadership in education
 - E.g. teaching awards, membership on national/international committees/organizations
 - iv. Pedagogical scholarship
 - E.g. student mentorship, grant capture, publications, other knowledge translation activities related to teaching and learning
 - v. Professional development activities related to teaching and learning

Three letters of support from colleagues and/or stakeholders are encouraged.

5.2.6. Review Process

Applications for continuing appointment are first reviewed by the Department Chair/Director. The application is then referred to the Faculty Review Committee, which will then make a recommendation to the Dean. The Dean makes the final decision.

At each level of review, the reviewer(s) can choose to:

- a) recommend continuing appointment;
- b) recommend deferral of continuing appointment; or
- c) not recommend continuing appointment

If the reviewer(s) anticipate they will recommend deferral of continuing appointment or not recommend continuing appointment, they must notify the applicant and provide a written summary of their concerns. The applicant then has ten (10) working days to meet with the reviewer(s) or to provide a written response. Any written response will become part of the application file and will be available to subsequent reviewers.

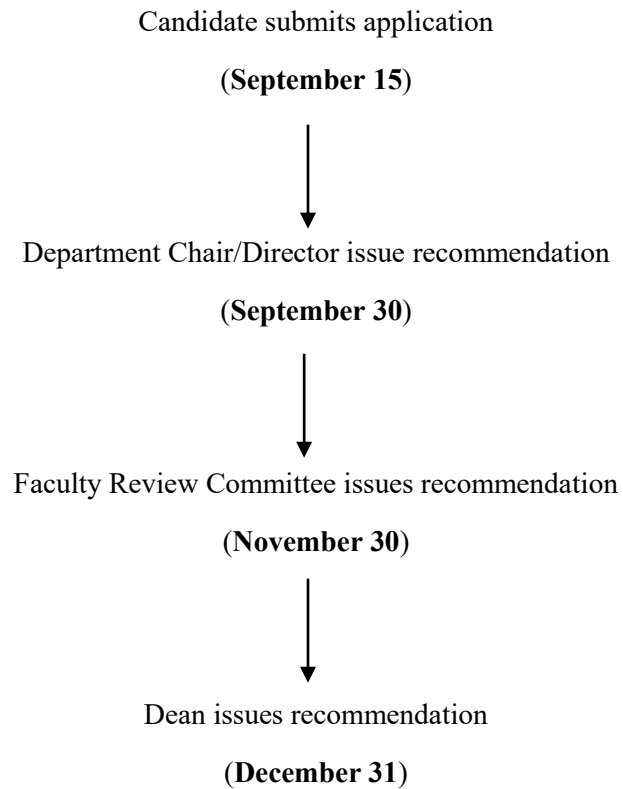
At all levels of review, the recommendation must include a written rationale, explaining how the applicant has met (or not met) the applicable criteria. If there is not sufficient detail provided in the recommendation, the next reviewer may request additional information or clarification.

Once a recommendation has been issued, it should be copied to the applicant. The applicant then has the option of providing an additional response. Responses must be received within five (5) working days following receipt of the recommendation and will become part of the application file and made available to subsequent reviewers.

5.2.7. Appeal

Continuing appointment decisions are not subject to appeal but procedural concerns are subject to grievance.

5.3. PROMOTION



5.3.1. Eligibility

Faculty members receive automatic promotion to Senior Instructor when they are granted a continuing appointment. They are normally eligible to apply for a continuing appointment in the Fall term of their fifth year as an Instructor. Faculty are normally eligible for promotion to University Teaching Fellow after having served five years as a Senior Instructor. Early consideration may occur in exceptional cases.

For example, a faculty member hired to a 1st probationary appointment in July 2019, would be eligible for continuing appointment and promotion to Senior Instructor in the Fall of 2023. If successful, they would then be eligible for promotion to University Teaching Fellow in the Fall of 2028.

5.3.2. Timeline

September 15:	Deadline for submission of application to the Dean. The Dean's Office develops and maintains a file inventory throughout the review process. Reviewers may remove the file from the Dean's Office but it must be returned once the review is complete.
September 30:	Department Chair/Director makes recommendations to Dean.
November 30:	Faculty Review Committee makes recommendation to Dean.
December 31:	Dean makes final decision.

5.3.3. Criteria

Promotion test: In the case of promotion to the rank of University Teaching Fellow, there must be solid evidence that the applicant has attained and are likely to maintain a high level of effectiveness in teaching and other primary duties and responsibilities that support the dissemination of knowledge, and that the applicant's teaching and leadership demonstrates a significant contribution to the University. Applicants for promotion to University Teaching Fellow must demonstrate:

1. **Appropriate academic and professional qualifications**, as stated in the letter of appointment
 - a. The possession of appropriate degrees and/or certificates/diplomas; and
 - b. Appropriate experience in the discipline
2. **High level of effectiveness in teaching.** This may include but is not limited to:
 - a. Highly effective teaching activities in lectures and/or seminars, laboratories, clinics
 - b. Highly effective supervision of students in remedial activities and/or elective activities, table clinics, other projects
 - c. Appropriate preparation and presentation of material in courses of Continuing Education
 - d. Development of innovative approaches in teaching and/or education
 - e. Participation in professional development activities related to teaching

3. **Ability and willingness to work with colleagues so that the academic units concerned function effectively**, as evidenced by:
 - a. Appropriate internal service. This may include but is not limited to:
 - Service on standing and/or ad hoc committees at the departmental, faculty, senate or other university levels
 - b. Appropriate external service. This may include but is not limited to:
 - Leadership role in local and/or provincial, national, international professional organizations or service on related committees
 - Service as a consultant, advisor or referee to local and/or provincial, national or international bodies concerned directly or indirectly with his/her discipline or profession
 - Service on editorial boards of professional journals
 - Professional contributions to the community

4. **Personal Integrity and Professionalism**
 - a. Faculty member in good standing with the Faculty of Dentistry, Dalhousie University and the Provincial Dental Board of Nova Scotia, where applicable; and
 - b. Demonstrates an ability to work with others collegially; and
 - c. Demonstrates the Faculty's Guiding Principles

5.3.4. Documentation

Reviewers will consider all of and only that documentation which is submitted in support of either an application or a recommendation. Applications for promotion should include, but are not limited to:

- a) Cover letter for promotion application
- b) Curriculum vitae
- c) Teaching dossier, including but not limited to:
 - a. Teaching philosophy
 - b. Evidence of
 - i. Teaching excellence
E.g. summary of evaluations by students, colleagues
 - ii. Innovation in teaching and/or evaluation
E.g. new course development, significant modification of course, development and/or introduction of new teaching methods/materials, evaluation schemes
 - iii. Leadership in education
E.g. teaching awards, membership on national/international committees/organizations
 - iv. Pedagogical scholarship
E.g. student mentorship, grant capture, publications, other knowledge translation activities related to teaching and learning
 - v. Professional development activities related to teaching and learning

Three letters of support from colleagues and/or stakeholders are encouraged.

5.3.5. Review Process

Applications for promotion are first reviewed by the Department Chair/Director. The application is then referred to the Faculty Review Committee, which will then make a recommendation to the Dean. The Dean makes the final decision.

At each level of review, the reviewer(s) can choose to:

- a) recommend promotion; or
- b) not recommend promotion

If the reviewer(s) anticipate they will not recommend promotion, they must notify the applicant and provide a written summary of their concerns. The applicant then has ten (10) working days to meet with the reviewer(s) or to provide a written response. Any written response will become part of the application file and will be available to subsequent reviewers.

At all levels of review, the recommendation must include a written rationale, explaining how the applicant has met (or not met) the applicable criteria. If there is not sufficient detail provided in the recommendation, the next reviewer may request additional information or clarification.

Once a recommendation has been issued, it should be copied to the applicant. The applicant then has the option of providing an additional response. Responses must be received within five (5) working days following receipt of the recommendation and will become part of the application file and made available to subsequent reviewers.

5.3.6. Appeal

Promotion decisions are not subject to appeal, but procedural concerns are subject to grievance.

6. TERMS OF REFERENCE: FACULTY REVIEW COMMITTEE

Purpose

To advise the Dean on all recommendations for reappointment, tenure or continuing appointment, and promotion within the Faculty of Dentistry.

Duties

1. To advise the Dean regarding recommendations on rank and tenure or continuing appointment status to be granted upon appointment to new faculty members.
2. To advise the Dean regarding recommendations on reappointment, tenure or continuing appointment, and promotion of faculty members.
3. To develop and periodically review guidelines for reappointment, tenure or continuing appointment and promotion and to make recommendations to the Faculty for changes to the guidelines.

Membership and mode of appointment

1. The Faculty Review Committee shall be elected by Faculty and consist of a minimum of three tenured faculty members.
 - a. The membership must include representation from the Full Professor academic rank.
 - b. If the Review Committee is reviewing an application from an instructor-stream faculty member, it must also include representation from the instructor stream.
 - c. If the Review Committee is reviewing an application from a Dental Hygiene faculty member, it must also include representation from the School of Dental Hygiene.
 - d. If a committee member is being considered in matters related to reappointment, tenure or continuing appointment, and/or promotion an appropriate faculty member will be appointed to the committee to replace that member for the academic year.
 - e. Membership on the Committee shall be for a three-year term and the members terms shall be staggered.
 - f. The Chair and Interim Chair shall be elected by Faculty Council.
 - g. In the absence of the Chair, the Interim Chair will serve.

Quorum

The quorum for the Committee shall be three, including the Chair. A member from the School of Dental Hygiene must participate when Dental Hygiene reappointment, tenure and promotions are considered and an instructor stream faculty member must participate when an instructor stream faculty member is being considered.

Authority/Reporting Mechanism

The Committee acts upon request from the Dean and reports to the Dean as required.

7. APPENDIX A – SAMPLE LETTER FOR EXTERNAL REFEREES

1. LETTER OF REQUEST

Date:

Dear _____

Dr. (*insert candidate's name*), an Assistant Professor (*or substitute appropriate rank*) in (*insert name of Department*), is being considered by Dalhousie University for (*insert tenure and/or promotion as appropriate*). Your name has been suggested as an external referee to assist us in our deliberations. As you know, such an external review makes a vital contribution to tenure and promotion consideration and I hope you will be able to assist the University by acting as an external referee in this case. We would require your input into our deliberations by (*insert required return date*).

You should be aware that your letter of reference will be made available to the candidate unless you request that your identity be concealed in which event the identifying letter-head and signature block shall be removed.

If you are willing to act as an external referee in this case could you please advise me by return fax or email at (*insert fax number*) or phone me at (*insert phone number*) no later than (*insert response date*). Upon confirmation from you, I will be forwarding to you copies of Dr. (*insert candidate's name*)'s curriculum vitae and other relevant information.

Thank you for considering this matter.

Yours Sincerely,

2. LETTER WITH DETAILS

Date:

Dear _____

Thank you for agreeing to act as an external referee in Dr. (*insert candidate's name*) consideration for (*insert tenure and/or promotion as appropriate*). As I previously indicated to you, we will require your input into our deliberations by (*insert required return date*).

I would also remind you that your letter of reference will be made available to the candidate unless you request that your identity be concealed in which event the identifying letter-head and signature block shall be removed.

I am enclosing the following documentation to assist you in giving your assessment of the candidate to us:

(*List details of all enclosures including:*

- *copies of the relevant criteria and standards from the collective agreement and/or Faculty regulations,*
- *the curriculum vitae of the candidate,*
- *if appropriate, copies of the teaching evaluations,*
- *copies of all published articles and papers presented to conferences as submitted by the candidate,*
- *bibliographical list of published books; (include the following as a note: if your library cannot supply these, please let us know, and we will arrange for the material to be sent to you.)*

Of the several criteria that are relevant in tenure or promotion consideration, we would expect that your assessment would primarily focus on the candidate's scholarly activities. In an assessment of the candidate's published work, we would request that you include a comment on the reputation of the journal or publication in which the work appears and your comments on the quality, originality and productivity of any research performed by the candidate would also be welcomed. We are, of course, not restricting you from commenting on any other aspects of the candidate's abilities or performance or other relevant criteria if this is possible. Your assessment of whether the candidate has, in your view, met the relevant criteria is of vital importance to us.

If you require any further clarification, we would prefer it if you write or fax us rather than telephone since the substance of any material communication with you regarding this matter will be disclosed to the candidate.

Thank you for your kind assistance in this matter.

Yours Sincerely,

3. REMINDER LETTER PRIOR TO DEADLINE

Date:

Dear _____

I am writing you regarding your assessment of Professor X. As you know, we requested that you submit your assessment to us by (*insert date*). As that date is fast approaching, I am writing to give you a friendly reminder of that important date and to express our hope that you will be in a position to give us your views by that time. Your views and expertise in this matter are of critical importance to us. If you anticipate any delays in providing us with the requested assessment, please advise me at the earliest opportunity.

Thank you for your kind assistance in this matter.

Yours Sincerely,

* * * * *

4. REMINDER LETTER AFTER THE DEADLINE

Date:

Dear _____

I am writing you regarding your assessment of Professor X. As you know, we requested that you submit your assessment to us by (*insert date*). As that date is now passed, I am writing to request that you provide us with your assessment as soon as possible.

Your views and expertise in this matter are of critical importance to us and our consideration of the candidate will be incomplete unless we have your input. If you anticipate any significant delay in providing us with the requested assessment, please advise me at the earliest opportunity.

Thank you for your kind assistance and attention to this matter.

Yours Sincerely,

8. APPENDIX B – ACADEMIC RECRUITMENT PROTOCOL

When an academic position becomes available in the Faculty of Dentistry, including the School of Dental Hygiene, a search committee will be struck. Search committees shall be chaired by the appropriate Department Chair/Director. Chairs of Search Committees shall work with Human Resources in following university protocol for academic recruitment and selection.

The Chair of the search committee for Senior Administration positions (Department Head, Director, Assistant/Associate Dean) shall be the Dean.

9. APPENDIX C – FACULTY OF DENTISTRY’S GUIDING PRINCIPLES

The Guiding Principles in this document have been created for all of us who work and learn in the Faculty of Dentistry with the aim of helping us to work together better. We have set out five straightforward principles that are essential for a professional, effective, and collegial working environment.

Guiding Principles help us...

- Promote and maintain professional and respectful behaviour.
- Agree on ways of working that make our workplace both effective and a pleasant place to work.
- Establish practical guidelines that we can follow in our daily working lives.
- See clearly when behaviour does not live up to the expected standard and helps us to take action to correct it.

GUIDING PRINCIPLES:

COMMUNICATION

I will strive to communicate in a way that is clear, concise, and respectful.

ACCOUNTABILITY

I will strive to achieve the responsibilities of my professional role and to fulfill my responsibilities to my team and the Faculty of Dentistry.

INCLUSION & OPENNESS

I will strive to build a workplace that promotes the inclusion of others’ ideas, suggestions, experiences and perspectives.

STUDENT LEARNING & PATIENT EXPERIENCE

I will consistently strive to support and enhance the experiences of our patients and the learning opportunities of our students.

APPRECIATION

I will actively seek to appreciate, recognize, and celebrate the accomplishments of my co-workers when and where appropriate.