

PROMOTION AND TENURE GUIDELINES

Faculty of Medicine

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1. INTRODUCTION

a. Purpose of the guidelines

These Faculty of Medicine guidelines are intended as a useful aid to the interpretation of regulations as set out in the Dalhousie University Senate document, '*Regulations Concerning Appointments, Tenure and Promotion (1987)*', hereinafter referred to as the University Regulations, and the '*Collective Agreement between the Board of Governors of Dalhousie College and University and the Dalhousie Faculty Association*', hereinafter referred to as the Collective Agreement, but **do not supersede these documents**. Please note that it is imperative that clarification of the interpretation of regulations, clauses and guidelines be sought from the Dean's Office whenever there is any doubt or difference of opinion.

The express purpose of the Faculty of Medicine Promotion and Tenure Guidelines is to assist and inform those involved in the promotion and tenure process at all levels: faculty members, department heads, department promotion and tenure committee members, faculty promotion and tenure committee members and administrative staff. These guidelines outline the promotion and tenure process and formal procedures, including deadlines, routing, levels of responsibility, eligibility, criteria and documentation.

b. Additional reference documents

For **basic science/tenure-stream** faculty, please refer to the separate documents outlining the appropriate criteria and standards (2002) applicable to the Faculty of Medicine for tenure and promotion. Also, refer to the Collective Agreement, particularly Articles 15 (Tenure) and 16 (Promotion).

For **clinical faculty** holding continuing appointments, please refer to the separate document outlining the appropriate promotion criteria (2013).

Please refer to the Appointments, Promotion and Tenure section of the Faculty of Medicine website for links to the above documents, criteria and standards, and other up-to-date information and resources (ex: worksheets, checklists, etc.).

http://medicine.dal.ca/for-faculty-staff/promotion_tenure.html

2. ELIGIBILITY

a. Tenure

Only faculty members who hold tenure stream appointments are eligible for consideration of tenure at Dalhousie University. Most individuals being considered for tenure will have been initially appointed at the rank of Assistant Professor. However, occasionally those on probationary tenure track appointments will have been promoted from Lecturer to Assistant Professor during their term. In this instance academic rank is not a factor in determining tenure eligibility.

i. Probationary Tenure Track appointments

Probationary tenure track appointments are given to junior academic faculty with little or no full-time academic experience. These appointments are for an initial period of three years, after which the member's performance is reviewed by the Department Committee, Department Head and Dean before being renewed for a second three-year term (tenure track). Members who begin with probationary tenure track

appointments are **eligible for consideration of tenure after four years of service (i.e. in the fall of the fifth year of appointment).**

ii. Tenure Track appointments

Tenure track appointments are given to individuals with at least three years full-time academic teaching experience. These appointments are for three years, with **tenure consideration occurring after two years of service (in the fall term of the third year of appointment).**

NOTE: Joint appointments

Where a member holds a joint appointment in two or more departments, tenure consideration occurs **simultaneously** with consultation between departments as specified in section 4 b of this document.

b. Promotion

A member may request consideration for promotion at any point. However, **notwithstanding exceptional candidates**, applications for promotion submitted at fewer than five years in the current rank are **less likely to be successful**.

i. Lecturer to Assistant Professor

Promotion will occur when the member has acquired the appropriate qualifications.

ii. Assistant Professor to Associate Professor

On the initiative of member, the member may be considered for promotion from Assistant Professor to Associate Professor.

iii. Associate Professor to Professor

On the initiative of member, the member may be considered for promotion from Associate Professor to Professor.

NOTE: Joint appointments

Promotion consideration may occur **simultaneously** in each department **or singly**, but with **consultation** between departments in each instance. See section 4 b of this document for process of consideration.

c. Notification of eligibility

In accordance with the Collective Agreement and the University Regulations, Assistant and Associate Professors who have not previously initiated consideration for promotion shall be reminded of their eligibility **no later than August 15** of the **fifth year** of the member's appointment by the Dean.

The Dean's Office will liaise with Departments regarding eligibility for tenure and promotion consideration and will request confirmation that the department head has contacted eligible members. A member who requests consideration for promotion must submit this request to the department head **no later than September 15** of the year in which such consideration is to occur. Once Departments know who will be considered for promotion they should notify the Dean's Office.

3. TIMELINES

a. Deadlines and routing: an overview

No later than:

- Sep. 15** Candidates submit applications to departments. **Also, see paragraph 'b' below.**
- Nov. 1** Basic science and clinical departments submit tenure applications to Dean's Office. Dean's Office reviews, organizes material and forwards to respective Faculty Committee Chairs, usually within five to ten working days of deadline.
- Nov. 15** Clinical departments submit promotion applications to Dean's Office. Dean's Office reviews, organizes material and forwards to Faculty Committee Chairs within ten to fifteen working days of deadline.
- Nov. 30** Basic science departments submit promotion applications to Dean's Office. Dean's Office reviews, organizes material and forwards to Chair, Faculty Basic science Promotion and Tenure Committee, within ten to fifteen working days of deadline.
- Dec. 31** Faculty Committees make recommendations to Dean regarding tenure. Dean meets with respective Faculty Committee Chairs to review the committee recommendations in the first week of January, if required.
- Jan. 15** Dean's Office submits tenure applications to President. Faculty members are notified of the Dean's recommendation regarding tenure.
- Feb. 15** Faculty Committees make recommendations to Dean regarding promotion. Dean meets with respective Faculty Committee Chairs to discuss recommendations if required.
- Mar. 15** Faculty members notified of President's recommendation regarding tenure to Board of Governors.
- Mar. 31** Dean's Office submits promotion applications to President. Faculty members notified of Dean's recommendation regarding promotion normally by April 15.
- May 31** Faculty members notified of President's recommendation regarding promotion to Board of Governors.
- June** Board of Governors meeting. Notification of Board approval of promotion will occur before end of month.

b. Departmental timelines

Each department is responsible for putting into place their own process for consideration of tenure and promotion applications, which entails the establishment of a Promotion and Tenure Committee, setting deadlines for receipt of applications and subsequent review, etc. **The Faculty Guidelines do not preclude departments from establishing their own deadlines in order to ensure they are able to meet the deadlines established by the University;** however, the University Regulations and Collective Agreement must be taken into consideration in so doing.

4. PROCESS OF CONSIDERATION & LEVELS OF RESPONSIBILITY

a. Faculty member

Faculty members are responsible for contacting their Department Head for information regarding the promotion and tenure process in their department. Members submit their applications to the department by the deadline established by the department and no later than September 15.

i. Tenure

Members on tenure track appointments should be aware of the year they will become eligible for tenure consideration and therefore be prepared with appropriate and complete documentation.

- Request for deferral of consideration: A faculty member may request a deferral of tenure consideration for one and no more than two years. Requests for deferral must be made in writing and in accordance with the Collective Agreement.

ii. Promotion

Members may apply for promotion when they believe they meet the qualifications for that rank, **normally at/after five years in the rank**. Members are responsible for developing and supplying an appropriate and complete application for submission to their Department Head.

At any stage, a member may request that promotion not be considered, terminated or deferred.

b. Department Committee

Each department must form a single departmental promotions and tenure committee consisting of department members who are elected by the members of that department as stipulated by the Collective Agreement and the Regulations. It is recommended that the committee consist of five members, one of whom will serve as Chair. Members should be elected for a staggered term to provide continuity from year to year. Ordinarily, there should be at least one member of the committee from each of the ranks of Assistant Professor, Associate Professor and Professor. The Department Promotion and Tenure Committee makes recommendations to the Department Head regarding promotion and tenure considerations which are considered along with the Department Head's recommendations by the Faculty Promotion and Tenure Committee, the Dean, the President and the Board of Governors. Therefore, the Department Head should not sit on the committee as an ex officio.

The committee may be responsible for assisting the Department Head in contacting referees and obtaining reference letters on behalf of the applicant. The Department Committee Chair is responsible for assisting the Department Head in obtaining additional information if so requested by the Faculty Promotion and Tenure Committee or the Dean.

i. Tenure

The Department Committee reviews all department applications for tenure on the basis of the criteria established by Dalhousie University and the standards set by the Faculty of Medicine. In case of disagreement or dispute over interpretation and/or application of the criteria and regulations, the committee should seek the advice of the Department Head. The committee may be responsible for assisting the Department Head in contacting referees and obtaining reference letters on behalf of

the applicant. The committee will give each applicant the opportunity to be heard or submit a written statement in addition to the application already submitted to the Department Head. The Department Committee submits its recommendations to the Department Head, and is also responsible for informing the department member of its decision.

Any recommendation that tenure not be granted or that consideration be deferred (except when the member has requested deferral) shall include a written statement of the reasons for the recommendation in respect to each of the criteria specified as provided in the Collective Agreement.

ii. Promotion

The Department Committee reviews all departmental applications for promotion on the basis of the criteria established by Dalhousie University and the standards set by the Faculty of Medicine. In case of disagreement or dispute over interpretation and/or application of the criteria and regulations, the committee should seek the advice of the Department Head. The committee may be responsible for assisting the Department Head in contacting referees and obtaining reference letters on behalf of the applicant. The Department Committee submits its recommendations to the Department Head.

If the committee does not recommend promotion they are responsible for informing the member of their decision in writing, outlining their reasons with respect to each of the criteria for promotion.

NOTE: Joint appointments

i. Tenure

Where a member holds a joint appointment in two or more departments, tenure consideration occurs simultaneously in each department with consultation between departments as specified below.

- Non-DFA/PhD Clinical Faculty: Where a member holds a joint appointment in two or more departments, and the major appointment is in a clinical department, tenure consideration occurs **simultaneously** in each department with consultation between departments. Before any recommendation is made by the respective Department Promotion and Tenure Committees and the Department Heads, the Department Heads of the departments in which the member holds appointments shall discuss the situation.
- DFA/Basic Science Faculty: Where a member holds a joint appointment in two or more departments, and the major appointment is in a Basic Science department, the Head of the department in which the member holds their principal or major appointment is responsible for convening a **special tenure committee** with an appropriate number of members from each of the departments in which the member holds an appointment. The members of this committee shall contain elected and/or appointed members according to the established procedures in the departments in which the member holds appointments. This special committee shall fulfil the function of the department tenure committee.

ii. Promotion

Where a member holds a joint appointment in two or more departments or faculties, the member may be considered for promotion in any of these units, **simultaneously**

or singly. During consideration for promotion in only one unit, there shall be **consultation** with the other unit(s) in which the member holds an appointment, but promotion shall not be denied in one unit merely because of failure to reach agreement. All regulations, criteria and requirements for promotions apply in the case of consideration of promotion in one of the departments of the joint appointment.

c. Department Head

It is the responsibility of Department Heads to establish a schedule for submission and review of promotion and tenure applications in their department and to submit these applications to the Dean's Office in accordance with University deadlines. The Department Head is responsible for obtaining referee and reference letters on behalf of the applicant. The Department Head is also responsible for obtaining additional information if so requested by the Faculty Promotion and Tenure Committee or the Dean and may be assisted by the Chair of the Department Promotion and Tenure Committee. The Department Head is also responsible for obtaining evaluation forms and letters from students and colleagues regarding teaching effectiveness.

i. Tenure

The Department Head is responsible for reviewing the progress of all members on probationary tenure track and tenure track appointments on a regular basis and for notifying members when they are eligible for tenure consideration. The Department Head forwards all applications to the Department Committee for review. Note that the Department Head is required to make recommendations regarding tenure which are considered in addition to the Department Committee's recommendations at both the Faculty and the University levels; therefore, the Department Head should not sit on the committee as an ex officio.

Upon receipt of the recommendations of the Department Committee the Department Head, in turn, reviews the applications and makes recommendations to the Dean. The Department Head must inform the member of a decision not to recommend tenure or to recommend deferral of tenure and outline the reasons for the decision. If recommending deferral, the Head must notify the member and give reasons, if requested, prior to Nov. 1.

The Department Head ensures that all applications are complete and contain appropriate documentation before forwarding them to the Faculty Committee via the Dean's Office.

ii. Promotion

The Department Head forwards all applications to the Department Committee for review. Note that the Department Head is required to make recommendations regarding promotion which are considered in addition to the Department Committee's recommendations at both the Faculty and the University levels; therefore, the Department Head should not sit on the committee as an ex officio.

The Department Head must inform all members that they are being considered for promotion and give them the opportunity to be heard or present a written statement. No faculty member may be considered for promotion without their consent. Upon receipt of the recommendations of the Department Committee the Department Head, in turn, reviews the applications and makes recommendations to the Dean.

The Department Head is responsible for informing the member of a decision not to recommend promotion in writing, outlining the reasons with respect to each of the criteria for promotion.

The Department Head is responsible for ensuring that applications are complete and contain appropriate documentation before forwarding them to the Faculty Committee via the Dean's Office.

d. Faculty Committee

The Faculty Committees (clinical and basic science) are standing committees of the Faculty of Medicine and are therefore made up of members of the Faculty of Medicine as nominated by the Nominating Committee of the Faculty of Medicine and elected by Faculty. These committees are responsible for the review of promotion and tenure applications in the Faculty of Medicine for the purpose of providing recommendations to the Dean.

i. Tenure

The Faculty Committee reviews all tenure applications as submitted by departments and in accordance with the criteria and regulations set by the University and standards set by the Faculty of Medicine. The committee is responsible for consulting with the Department Head and/or other department members as may be useful before making a recommendation to the Dean which differs from that of the Department Head. The committee is responsible for obtaining any additional information it feels is necessary to aid in the consideration of applications.

If the Department Head has recommended deferral (against member's wishes) or if recommendation for tenure is unlikely, the Faculty Committee must invite the member to appear before them or to submit a written statement (if the member has not already done so). At any stage in the tenure process, recommendation that tenure be granted, that consideration be deferred, or that tenure not be granted, shall be made known to the member concerned. Any recommendation that tenure not be granted or that consideration be deferred (except when the member has requested such deferral) shall include a written statement of the reasons for the recommendation in respect to each of the criteria specified (as provided in the Collective Agreement).

The Faculty Committee must submit its recommendations to the Dean by December 31. The Chair of the committee should be prepared to meet with the Dean to review all applications and the committee's respective recommendations if so requested.

ii. Promotion

The Faculty Committee reviews all promotion applications as submitted by departments and in accordance with the criteria and regulations set by the University and standards set by the Faculty of Medicine. The committee is responsible for obtaining any additional information it feels is necessary to aid in the consideration of applications.

It is the responsibility of the Faculty Committee to give each member being considered for promotion the opportunity to be heard or to present a written statement to the committee. In cases where a positive recommendation is in doubt, it is imperative that the Faculty Committee communicates with or invites the member to meet with the committee before the committee makes its final recommendation to the Dean.

If the committee ultimately recommends against promotion, the committee must notify the member in writing, outlining the reasons for the recommendation with specific references to each of the criteria for promotion. This must occur before the committee makes its final recommendation to the Dean. A copy of these reasons

shall be sent to the department head where the committee recommendation differs from that of the department.

The Chair of the committee should be prepared to meet with the Dean to review all applications and the committee's respective recommendations if so requested.

e. Dean

The Dean is responsible for reviewing all applications for promotion and tenure before they are forwarded to the President. The Dean makes recommendations based on material submitted and recommendations by the department committee, department head and the recommendation of the Faculty Promotion and Tenure Committee.

i. Tenure

The Dean reviews all tenure applications as submitted by departments following receipt of the recommendations of the Faculty Promotion and Tenure Committees. The Dean may request additional information at this time and it is the responsibility of Department Heads to assist in obtaining such material. The Dean may meet with the Chairs of the Faculty Committees to review the applications. Members are notified of the Dean's recommendations by January 15, as stipulated by the Collective Agreement and Regulations. The Dean is required to submit tenure applications to the President by this date as well.

ii. Promotion

The Dean reviews all promotion applications as submitted by departments, following receipt of the recommendations of the Faculty Promotion and Tenure Committees. The Dean may request additional information at this time and it is the responsibility of Department Heads to assist in obtaining such material. The Dean may meet with the Chairs of the Faculty Committees to review the applications. The Dean is required to submit applications to the President by March 31.

If the Dean recommends against promotion, s/he will inform the member in writing.

Members are informed of the Dean's recommendations to the President normally by April 15.

f. President

The President reviews all promotion and tenure applications as submitted by the Dean's Office and makes recommendations to the Board of Governors. The President reserves the right to return any applications considered incomplete, particularly those lacking in evidence of teaching effectiveness.

i. Tenure

The President reviews all tenure applications as submitted by the Dean's Office and makes recommendations to the Board of Governors. The President is required to inform individuals of these recommendations normally by February 28 and no later than March 15.

ii. Promotion

The President reviews all promotion applications as submitted by the Dean's Office and makes recommendations to the Board of Governors. The President is required to inform individuals of these recommendations no later than May 31.

g. Board of Governors

The Officers of the Board of Governors of Dalhousie University reviews all applications for promotion and tenure as presented by the President and gives final approval.

i. Tenure

The Officers of the Board of Governors reviews all applications for tenure as presented by the President, normally at their March or April meeting. Individuals will receive notification no later than the end of the month in which the meeting takes place.

ii. Promotion

The Officers of the Board of Governors reviews all applications for promotion as presented by the President, normally at their June meeting. Individuals will receive notification no later than the end of the month in which the meeting takes place.

5. CRITERIA

a. General criteria

General criteria established by the University and assessed by committees and administrative officers when considering a faculty member for promotion and/or tenure include:

- Academic and professional qualifications
- Teaching effectiveness and contributions
- Contributions to the academic discipline (e.g. research, scholarship, etc.)
- Collegial relationships
- Personal integrity

The following are the minimum criteria for eligibility of promotion to each of the ranks of Associate Professor and Professor as established by Dalhousie University.

i. Associate Professor

Promotion to Associate Professor is a significant achievement and individuals to be considered for such a promotion are expected to have significant educational responsibilities and scholarly commitments and achievements. Promotion to Associate Professor is awarded in recognition of individuals who have demonstrated enthusiasm, initiative, leadership and competence in their academic activities. The attainment of the rank of Associate Professor is an honourable achievement and, for many, it will be the rank at which they remain.

ii. Professor

The Professor is a senior, established academic of distinction. This distinction may be in any one of a variety of academic areas but should be clearly visible and readily understood. The Professor has demonstrated by their performance an awareness of department, faculty, university and, if applicable, relevant hospital challenges, and has been active in meeting these challenges either individually or collectively. The Professor enjoys the respect of academic colleagues in this and other universities. Associate Professors who have reached a national and, preferably, international reputation in education or research, or who have taken on major academic administrative tasks and carried these out successfully, may be considered for promotion to Professor. Promotion to Professor is awarded in recognition of

outstanding individuals who continue to be active academically and hold promise for future development and notable contributions to both the University and their specialty field.

b. Specific criteria

In accordance with university regulations, faculty standards have been set in respect to these criteria as they apply to members of the Faculty of Medicine, specifically. These standards are meant to assist in the assessment of tenure and promotion applications and are not intended to preclude the requirement for flexibility in the assessment of individuals and their respective academic careers.

i. Basic Science/Tenure-stream Faculty

Please refer to the separate documents (2002) for the appropriate Faculty of Medicine criteria and standards for promotion and criteria and standards for tenure.

ii. Clinical/Continuing Appointment Faculty

Please refer to the separate document (2013) for the appropriate Faculty of Medicine criteria and standards for promotion.

6. DOCUMENTATION

a. Components of the application: an overview

Complete, concise and well organized files are essential for assessment purposes and should be submitted to the Dean's Office no later than the relevant deadline.

The following documentation constitutes a complete file. Consult the Faculty of Medicine's website for more information (including links to documents) and/or contact the Faculty of Medicine's HR Office.

- Department head's letter of recommendation*
- Department committee's letter of recommendation*
- External referees' letters
- List of proposed external referees provided by faculty member
- Sample (1) letter sent to external referees soliciting assessment
- Internal reference letters (**optional**)
- Candidate's cover sheet
- Candidate's statement**
- CV
- Teaching dossier (sample teaching evaluations must be included)
- If any, additional information relevant to the application (**optional**)
- A completed Faculty Payroll Profile Form
- Special File Inventory Sheet (**For Basic Science/tenure-stream faculty only**)

**For joint appointments, both departments must submit recommendations.*

***For clinical (continuing appointment) faculty: include copy of Career Path Profile*

b. Components of the application: detailed information

i. Letters of recommendation

The letters of recommendation should include a **comprehensive evaluation of the application with respect to the criteria and standards** established by Dalhousie University and by the Faculty of Medicine, and the concluding recommendation.

"Covering" memos and all-inclusive reports are neither appropriate nor acceptable.

Each promotion and tenure application must contain a letter of recommendation from each of the following when it is submitted to the President: Department Committee, Department Head, Faculty Committee, Dean.

Both the department committee and the department head must submit letters of recommendation for each applicant which specifically address each of the criteria applicable in the consideration of promotion and/or tenure.

If promotion is not recommended by the Department Committee and/or the Department Head, a letter from the Department Head indicating that the member has been informed of the recommendation and wishes the application to be forwarded for consideration at the Faculty level must be included in the file.

ii. Letters from external referees

Letters and other confidential evaluative material contained in the applicant's file (for promotion and/or tenure) are to be handled in accordance with the Collective Agreement and other relevant University or Faculty guidelines.

- **What constitutes 'arm's length'?** An arm's-length external referee is an individual who is not employed by Dalhousie University, and who is able to comment on the faculty member's specialty scholarly work without personal bias. Ideally, it is an individual in the same field as the faculty member with a noted reputation and expertise, who will be able to provide an objective commentary based on the curriculum vitae, publications, and other information provided by the department.
- **How are referees selected?** In choosing the names of persons to be approached, at least half of the persons approached shall be the choice of the faculty member. The faculty member, department head and dean shall each be entitled to comment on the suitability of the persons approached for review of the file. The list of suggested referees from the member and a copy of the letter written to the referees are required components of the promotion file.
- **How many letters from external referees are needed?** In cases of tenure and of promotion to **Associate Professor**, it is recommended that **three**, and no fewer than two, letters from arm's-length external referees be supplied with the application (including at least one from an individual suggested by the faculty member). In cases of promotion to **Professor**, it is recommended that **four**, and no fewer than three, letters from arm's-length external referees be supplied with the application, (including at least one from an individual suggested by the faculty member).
- **How are external referees contacted?** The acquisition of external referee letters is the responsibility of the Department Head with assistance by the Promotion and Tenure Committee if so required. The letters of solicitation to external referees should refer explicitly to promotion and/or tenure, not be

leading, and include relevant Dalhousie and Faculty of Medicine criteria, the candidate's up-to-date curriculum vitae and selected publications.

Guidelines for the acquisition of letters from external referees are as follows:

- The faculty member being considered for promotion and/or tenure will be requested to suggest possible external referees. In accordance with the Collective Agreement, at least half of the persons approached as referees shall be the choice of the faculty member. (See Appendix I for sample letters to be used in soliciting names of possible external referees from promotion and tenure candidates and referees.) The candidate should be advised not to communicate with potential referees about their case as it could raise suspicions about impartiality. The referee letters should not be solicited by the candidate nor addressed to the candidate.
 - The letter seeking the opinion of a referee should be brief, requesting a candid appraisal of the candidate's scholarly, professional and/or creative achievements. The letter should also indicate that the referee's independent opinion of those achievements is being sought and not as support for a decision already reached. A recommended opening sentence is: "The Department of is reviewing the record of to determine whether to recommend her/him for...."
 - Members are entitled to review confidential information used in consideration of promotion and tenure upon request. Potential referees should be informed of this and should also be informed that they may request that their recommendations be anonymous, in which case the letter would be edited, with the approval of the DFA (for DFA members), before perusal by the member.
 - A sample of the solicitation letter should be included with the promotion/tenure application. If referees have been asked different questions, for example, if one is to deal specifically with a professional contribution and another with a research contribution, a sample of each letter should be included indicating to whom it was addressed.
 - A selection of the candidate's publications should be sent to referees with an indication that all publications are available from the department by request. A written record of all material sent to referees should be kept by the Department Committee or Department Head.
 - Referees' qualifications should be identified by the Department Head or the Dean, particularly in consideration of members of the committee who may be unfamiliar with the candidate's field.
 - Only arm's-length referees whose impartiality cannot be doubted should be sought.
- **Can we include additional (non arm's-length) letters?** Yes, other letters may be included in the file as letters of reference. If references from peers, former associates, former research directors, etc., are used, their opinions should be manifestly supportable and must not be the only letters in the file. References may be sought from current or former students, colleagues, etc.

iii. Statement from Member

The application should include a covering letter/statement from the member which includes a detailed summary of activities in the categories of teaching, research and administration, as per the criteria.

iv. Curriculum vitae

The Curriculum Vitae (CV) includes education and employment history, academic and professional experience, research activities, professional memberships, list of publications, etc.

The CV should be comprehensive but concise. All pages must be numbered. The following is a general outline for a standard academic CV:

- General information
 - Full name
 - University Department
 - Home address and telephone number
 - Office address and telephone number
- Education
 - Degrees: dates and institutions
 - Licenses: dates and organizations
 - Fellowships: dates, institutions/organizations
 - Honours: dates and institutions/organizations
- Professional/academic experience
 - Professional experience: positions held, dates, institutions
 - Academic experience: rank, dates, institutions
- Professional memberships
 - Professional society memberships and executive positions
- Committee memberships/administrative activities
 - University, faculty, department committee memberships (clarify role)
 - Administrative activities (clarify role)
- Clinical Faculty only: Clinical/professional service
 - CPD activity
 - Awards
 - Patient care innovations/program development
 - Administration of a clinical service/program
 - Reports and/or publications
- Presentations and papers/research
 - Invited presentations (lectures and seminars)
 - Papers published: journal, year, volume number, inclusive page numbers
 - List primary authored peer-reviewed articles first, followed by peer-reviewed collaborative papers where you are secondary author. List non-reviewed articles in a separate section. Number the articles.
 - Abstracts of papers presented: journal, year, volume number, inclusive page numbers
 - Research grant support: agencies, amounts, titles of research

- Reviewing activities for scientific journals and granting agencies type of research reviewed and journal or agency
 - Community involvement
 - Non-professional community activities
 - Volunteer work
 - Teaching (include teaching dossier – see below)
- v. Teaching dossier (for Tenure and Promotion purposes)

Teaching effectiveness is an important criterion for promotion and tenure at Dalhousie University, necessitating the requirement to provide evidence of teaching activities and effectiveness in all promotion and tenure applications. Applications lacking in such evidence will not be considered by the President. To that end, the Faculty of Medicine requests that faculty members include a concise teaching dossier in their applications for promotion and/or tenure.

A teaching dossier must document the quantity of teaching (undergraduate, graduate, postgraduate, interprofessional, CPD, public and patient education) and the quality as evaluated by participants and peers, and by department and division heads. Responsibility for course planning and evaluation, development of course material, educational research and publications so related are also considered important components of a teaching dossier.

The teaching dossier should include a complete listing of teaching responsibilities and accomplishments as provided by the member and student and peer evaluations of teaching effectiveness as provided by the department head. A representative sampling of evaluative information collected by the faculty member may be included as well.

Only Faculty approved evaluation forms should be used. A summary of the evaluation forms that gives an overview of the responses in lieu of copies of the actual forms is preferred (if available). Department Heads are responsible for the collection of information from colleagues and students and are also required to include their own letter which gives an overview of the teaching effectiveness of the faculty member.

In the absence of evaluation forms, letters from students, former students and from peers, provided they are solicited by the Department Head or Department Promotion and Tenure committee, are admissible; however, only include a representative sampling. Departments may use their own forms provided they have been approved and accepted by members of the Department.

The teaching dossier is expected to have a major role in the ongoing self-assessment that all teachers should carry out at least annually. The information included should be illustrative of the individual's approach to and philosophy of teaching. It should also be a forum for the display of a teacher's accomplishments.

In summary:

A teaching dossier is:

- A carefully constructed record of teaching goals, methods and results/evidence
- Documentation of teaching roles (undergraduate, graduate, postgraduate, CPD, public, etc.)

- Documentation of teaching effectiveness, as evaluated by students/trainees and peers
- Concise - with samples provided

A teaching dossier includes:

- Statement of your teaching philosophy and goals
- Teaching activities
- Education administration and leadership
- Teaching innovations and curriculum development
- Education scholarly work
- Activities to improve teaching (ex: education-related professional development)
- Evidence of excellence (evaluations)

Teaching dossier tips:

- Start early on in your academic career; a dossier is a 4-5 year effort
- Open a teaching dossier file, and collect information from several sources regularly
- Create early drafts and make frequent updates
- Seek peer input
- Base your case on explicit evidence

ADDITIONAL RESOURCES:

Centre for Learning and Teaching:

<http://www.dal.ca/dept/ct/resources/Dossiers.html>

Faculty of Medicine's Promotion and Tenure site:

https://medicine.dal.ca/for-faculty-staff/promotion_tenure.html

Faculty of Medicine's Office of Faculty Development:

<https://medicine.dal.ca/departments/core-units/cpd/faculty-development.html> or contact facdev@dal.ca

NEW (2017): a clinical teaching dossier template is available. Contact the Faculty of Medicine's HR resources or its Faculty Development Office.

APPENDIX I:

Sample letter/e-mail – Department head to faculty member requesting external referee list

[Date]

[Name]

[Address]

Dear [faculty member],

As part of the consideration of your application for [promotion/tenure], letters of recommendation will be sought from **arm's-length external referees**. External referees make a vital contribution to the process of consideration, and must be carefully selected. In addition to evaluating your application against the criteria, they will be asked to evaluate the **quality and impact** (national, international) of your specialty **research** work.

An arm's-length external referee is someone who is not employed by or appointed to Dalhousie University and who is able to objectively review your application without personal bias¹. External referees should be persons whose impartiality cannot be doubted. Close friends, former associates/colleagues, former directors/supervisors and recent co-authors/co-investigators would not generally be considered at arm's length.

Moreover, you should not communicate with the proposed external referees about the matter in question since doing so could raise doubts about their impartiality. The department will approach these individuals on your behalf.

Please note: Although not a mandatory component of the application, letters of reference may also be included. Contrary to letters from external referees, letters of reference are usually internal, from people who know you well and from whom you can expect a manifestly supportive reference. These letters of reference will be not be counted among the required number² of letters from external referees.

In choosing the names of individuals to be approached as external referees, at least half of the persons approached by the department shall be from the list you provide. Of those approached, at least one letter from persons on your list must be included in your application moving forward. The faculty member, department head and dean are each entitled to comment on the suitability of the persons to be approached.

We ask that you provide the names and contact information of three (minimum) to six individuals who may be approached by the department to serve as arm's-length referees.

Please submit this list to [name & email of departmental coordinator] **no later than [date]**.

Do not hesitate to contact us if you have any questions about the process.

Sincerely,

[Department Head]

¹ Please see Appendix IV of the Faculty of Medicine Promotion and Tenure Guidelines for more information regarding bias.

² For **tenure and/or promotion to Associate Professor**: preferably three (3) and no fewer than (2), incl. at least one individual suggested by the member; for **promotion to Professor**: preferably four (4) and no fewer than (3), incl. at least one individual suggested by the member.

**APPENDIX II:
Sample letter/e-mail – Department head to external referees (request to serve)**

NOTE: For Basic Science/Tenure-stream candidates, see Appendix VI of the DFA Collective Agreement

[Date]

[Referee name]
[Referee address]

Dear Dr. [referee name]:

Re: Request to serve as an external referee

Dr. [applicant name], an [applicant current rank] in the Department of [applicant department], is being considered by Dalhousie University for promotion to [next rank]. Your name has been suggested as an arm's-length external referee to assist the departmental committee in their deliberations.

An arm's-length external referee is someone who is not employed by or appointed to Dalhousie University and who is able to objectively review the faculty member's application without personal bias. Please let us know if you question or do not view yourself as being at arm's length in relation to Dr. [applicant name].

If you accept, this would involve reviewing Dr. [applicant name]'s application against the required criteria, evaluating the quality and impact (national, international) of Dr. [applicant's name]'s specialty research work, and writing a letter of recommendation. Your letter of recommendation must specifically address the promotion criteria (met/unmet), the quality and impact of the scholarly work, and clearly state whether or not you would recommend promotion. This would likely require a time commitment of up to 4 to 6 hours.

An external review makes a vital contribution to promotion consideration, and I hope you will be able to assist our departmental committee and the University by acting as an external referee in this case.

Please confirm whether you would be willing to serve as an external referee by contacting [name & contact info of departmental promotion/tenure coordinator] by [date]. Upon confirmation, s/he will send you all of the information required for your review of the application.

If you accept, your letter of recommendation would be required by [date].

Yours sincerely,

[Department Head]

APPENDIX III:

Sample letter/e-mail – Follow-up: Department head to external referee (upon agreement to serve)

[Date]

[Referee name]

[Referee address]

Dear Dr. [Referee name]:

Re: Dr. [applicant name] – Promotion to [next rank]

Thank you for agreeing to serve as an external referee for Dr. [applicant name]'s promotion application.

Dr. [applicant name] is being considered for promotion to [next rank] as a [career path] under [substantive OR considerable] fulfillment of the criteria. ['Substantive' OR 'Considerable'] fulfillment requires that [all essential plus some additional criteria are met OR many essential and many additional criteria are met] in the relevant scholarship/s. Please see attached documentation for scholarship/s and criteria.

Your vital contribution will be the evaluation of the applicant's specialty scholarly work. You are encouraged to use the worksheet during your review of the application. Please provide either: a) a completed worksheet and summarized letter, or b) a detailed letter (in narrative form) outlining your review of the application against the criteria and whether or not each is met. Your letter must include:

- In the opening remarks, a declaration of your **relationship** to the candidate and confirmation that you consider yourself to be at arm's length;
- An assessment of the application against the required promotion **criteria**;
- An evaluation of the **quality** and **impact** (national, international) of the applicant's specialty **research** work;
- In the closing remarks, a clear statement on **whether or not you recommend promotion** for this candidate based on the evidence provided in the application.

Please note that upon request, external referee letters will be made available to the candidate. If you wish for your identity to be concealed from the candidate, please advise me and/or indicate so in the letter so that steps can be taken to delete any identifying information.

As noted in our initial request, we would greatly appreciate your recommendation by [date]. Please send by email to [name & email of departmental coordinator].

Attached to this [email OR letter], please find:

1. Candidate's statement
2. Curriculum vitae
3. Teaching dossier
4. Criteria and standards for promotion
5. Worksheet/s

If you have any questions or would require additional information, please don't hesitate to contact the coordinator. Thank you in advance for your time and thoughtful consideration of this application.

Yours sincerely,

[Department Head]

APPENDIX IV:

NOTES – Guidance regarding conflict of interest and bias during the review process

A **conflict of interest** is a conflict between a person's duties and responsibilities with regard to the review process and that person's private, professional, business or public interests. There may be a **real, perceived or potential conflict** of interest if/when the committee member, external reviewer/referee or other person asked to assess the application:

- would receive professional or personal benefit resulting from the application under consideration;
- has a professional or personal relationship with an applicant or the applicant's institution; or
- has a direct or indirect financial interest in the application being reviewed.

A conflict of interest may be deemed to exist or perceived as such when a committee member, external reviewer/referee or other person asked to assess the application:

- is a relative or close friend, or has a personal relationship with the applicant;
- is in a position to gain or lose financially/materially/of reputation from the success of the application;
- has had long-standing scientific/academic or personal differences with the applicant;
- is currently affiliated with the applicant's institutions, organizations or companies;
- is closely professionally affiliated with the applicant, as a result of having in the last six years:
 - frequent and regular interactions with the applicant in the course of their duties at their department, institution, organization or company;
 - been a supervisor or a trainee of the applicant;
 - collaborated, published or shared funding with the applicant, or have plans to do so in the immediate future; or,
- for any reason, feels that s/he is unable to provide an impartial review of the application.

Bias – KEY QUESTION: Does the relationship between the applicant and the committee member or external reviewer/referee give rise to reasonable apprehension of bias?

- What is the perception of the relationship in the community affected by the decision?
- Would a reasonable person, knowing the facts, conclude that the committee member or external reviewer/referee would likely be biased in one way or the other?
- Has the committee member or external reviewer/referee already stated or indicated that they've come to a conclusion on the issue to be decided prior to the review process? If so, this gives rise to reasonable apprehension of bias.

Bias – KEY FACTORS:

1. **Influence** – If regarding a committee member, is the influence of the member diluted? How many members are there? Is this person chairing the committee? Is their influence controlling? Is the influence on the committee only by persuasion?
2. **Disclosure** – How open is the relationship? Is the committee member or external referee/reviewer open and forthcoming about the nature of the relationship with the candidate? Was there any attempt to conceal the relationship?
3. **Open versus closed mind** – Is there anything to suggest to a reasonable observer that the committee member or external referee/reviewer may be going into deliberations with a closed mind? Members and referees/reviewers should be fair and frank about the source of their information, the basis of their opinions and the extent to which they are prepared to deal with the task with an open mind.