

**DALHOUSIE UNIVERSITY**  
**FACULTY OF MEDICINE**  
**PROMOTION AND TENURE GUIDELINES**

**INTRODUCTION**

***PURPOSE OF THE GUIDELINES***

These 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," (hereinafter referred to as "Regulations") and the "Collective Agreement between the Board of Governors of Dalhousie College and University and the Dalhousie Faculty Association" (hereinafter referred to as "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 Dalhousie University promotion and tenure process and formal procedures, including deadlines, routing, levels of responsibility, eligibility, criteria and documentation.

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

**For CLINICAL faculty, please refer to the separate document outlining the appropriate criteria: "Promotion criteria for CLINICAL faculty\_ 2013-07-01". These criteria are to be used by all clinical faculty as of the 2014-2015 academic year and beyond.**

Also refer to

**<http://www.medicine.dal.ca/for-faculty-staff/faculty-council/policies-guidelines.html>**  
for supplemental information on revised promotion criteria for clinical faculty.

## I PROCESS

### A. *DEADLINES AND ROUTING* (P=Promotion/T=Tenure)

#### 1. Calendar: per the Regulations and the Collective Agreement:

##### NO LATER THAN:

**September 15 (P/T):** Deadline for candidate's submission of documentation to department.

**November 1 (T):** Deadline for submission of *tenure* applications to Dean from both basic science and clinical departments. Dean's Office organizes material and forwards to the respective Chairs, Faculty Promotion and Tenure Committees within five to ten working days of deadline.

**November 15 (P):** Deadline for submission of *promotion* applications to Dean from clinical departments. Dean's Office organizes material and forwards to Chair, Faculty Clinical Promotion and Tenure Committee within ten to fifteen working days of deadline.

**November 30 (P):** Deadline for submission of *promotion* applications to Dean from basic science departments. Dean's Office organizes material and forwards to Chair, Faculty Basic science Promotion and Tenure Committees within ten to fifteen working days of deadline.

**December 31 (T):** Faculty Promotion and Tenure Committees make recommendations to Dean regarding *tenure*. Dean meets with the respective Chairs of the Faculty Promotion and Tenure Committees to review the committee's recommendations in the first week of January, if required.

**January 15 (T):** Deadline for submission of *tenure* applications to President; faculty members notified of Dean's recommendation regarding *tenure*.

**February 15 (P):** Faculty Promotion and Tenure Committees make recommendations to Dean regarding *promotion*.

**March 15 (T):** Faculty members notified of President's recommendation regarding *tenure* to Board of Governors.

**March 31 (P):** Deadline for submission of *promotion* applications to President from Dean's Office; faculty members will be notified of Dean's recommendation regarding promotion normally by April 15.

**May 31 (P):** Faculty notified of President's recommendation regarding *promotion* to Board of Governors.

**June (P):** Board of Governors meeting; notification of Board approval of *promotion* will occur before end of month.

**2. Notification of Eligibility:**

In accordance with Regulations 6.2.5 and 6.2.6, and Clauses 16.10 and 16.11 of the Collective Agreement, 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 (*see Clause 16.01 of the Collective Agreement*). Once Departments know who will be considered for promotion they should notify the Dean's Office.

**3. Department Process:**

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 Regulations and Collective Agreement must be taken into consideration in so doing.

**B. PROCESS OF CONSIDERATION**

**1. Tenure: Refer to Regulations 5.7.2 - 5.11.1 and Collective Agreement Article 15:  
Tenure**

a) **Department Head:** Notifies member of consideration for tenure. If recommending deferral, the head must notify the member and give reasons, if requested, prior to November 1.

b) **Faculty Committee:** If 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 this has not already been done). If the Dean agrees with this committee on the recommendation of deferral or denial, the committee will inform the member of its reasons in writing if requested to do so by the member.

c) **Dean:** Makes recommendation to President and informs member of this recommendation, indicating any dissent from the Faculty Committee's decision, normally by December 31 and no later than January 15.

d) **President:** Notifies member of recommendation to the Board of Governors normally by February 28 and no later than March 15.

**2. Promotion: Refer to Regulations 6.1.1 - 6.2.8 and Collective Agreement Article 16: Promotion**

- a) **Department Head**: Notifies member when consideration is taking place at both the department and faculty levels, prior to November 15 (clinical) and prior to November 30 (basic science).
- b) **All Levels**: If the Department Head, Faculty Committee or Dean recommends against promotion, they will inform the member in writing: Head - November; Faculty Committee - February; Dean - April. At any stage, member may request that promotion not be considered, terminated or deferred, in accordance with *Regulation 6.1.4* and *Clause 16.04 of the Collective Agreement*.
- c) **President**: Informs member of recommendation to the Board of Governors normally no later than May 31. (Final consideration will take place at the Officers of the Board meeting in June.)

**3. Joint Appointments:**

- a) **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. In accordance with Regulation 5.7.1, **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. (*See Regulations 5.7.1 and 5.7.2.*)

**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 mentioned in Regulation 5.7.2 (*see Clause 15.33 of the Collective Agreement*).

- b) **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. 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. (*see Clause 16.07 of the Collective 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. ***LEVELS OF RESPONSIBILITY***

### 1. **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.**

- a) ***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 Clause 15.13 of the Collective Agreement.

- b) ***Promotion:*** Members may apply for promotion when they feel they meet the qualifications for that rank. Members are responsible for developing and supplying an appropriate and complete application for submission to their Department Head.

### 2. **Department Committee:**

*(Refer to Regulation 6.1.1 and Clause 16.01 of the Collective Agreement)*

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.

- a) ***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 or provided in Regulations 5.3.1 to 5.3.5 and, per this document, as provided in Regulations 5.4.1 and 5.4.2 (see Regulation 5.7.2 and Clause 15.18 of the Collective Agreement).**

- b) **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 (see Regulation 6.1.4 and Clause 16.04 of the Collective Agreement).**

### **3. 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 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.

- a) **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.**

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.

- b) **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 (see Regulation 6.1.4 and Clause 16.04 of the Collective Agreement).**

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.

#### 4. **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.

- a) **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 or provided in Regulations 5.3.1 to 5.3.5 and to this document**

**as provided in Regulations 5.4.1 and 5.4.2 (see Regulation 5.7.4 and Clause 15.22 of 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.

- b) **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 invite 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 (see Regulation 6.1.4 and Clause 16.04 of the Collective Agreement).**

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.

## **5. 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.

- a) **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.
- b) **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. Members are informed of the Dean's recommendations to the President normally by April 15.

## **6. 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.

- a) **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.
- b) **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.

## **7. 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.

- a) **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.
- b) **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.

## **II ELIGIBILITY**

### **A. *TENURE***

Only faculty members who hold tenure track 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.***

### **1. 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 Head 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).

### **2. 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).

### **3. Joint Appointments:**

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. In accordance with Regulation 5.7.1, ***before*** any recommendation is made by the Department Promotion and Tenure Committee and the Department Head, the Department Heads of the departments in which the member holds appointments shall discuss the situation. (*See Regulations 5.7.1 and 5.7.2.*)

***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 mentioned in Regulation 5.7.2 (*see Clause 15.33 of the Collective Agreement*).

## ***B. PROMOTION***

### **1. Lecturer to Assistant Professor:**

Consideration may normally occur when the member claims to have acquired the equivalent of the appropriate qualifications.

**2. Assistant Professor to Associate Professor:**

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

**3. Associate Professor to Professor:**

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

**4. Joint Appointments:**

Promotion consideration may occur simultaneously in each department or singly, but with consultation between departments in each instance. 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. (*see Regulation 6.1.1 and Clause 16.07 of the Collective Agreement*).

## **II 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 an academic discipline (e.g. research, scholarship, etc.)
- × Collegial relationships
- × Personal integrity

In accordance with University regulations 5.4.1 and 6.2.2 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.

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

## B. *PROMOTION*

### 1. University Criteria

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

- a) ***Lecturer to Assistant Professor:*** Consideration of promotion from Lecturer to Assistant Professor may occur when the formal qualifications required for the rank of Assistant Professor are obtained. The Assistant Professor is an established junior academic with significant educational responsibilities and normally with major scholarly commitments. Administrative responsibilities and committee work are usually minor initially but will tend to grow. The Assistant Professor has more than minimal formal training and shows clear promise of fulfilling the role of the junior academic.
  
- b) ***Assistant Professor to 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.
  
- c) ***Associate Professor to 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.

## IV DOCUMENTATION

Complete, concise and well organized files are essential for assessment purposes and should be submitted to the Dean's Office with attention to the following:

- **Five (5) copies of all documentation are required.**
- **Documentation be presented in the following order:**

1. Letter of Recommendation from the Department Head
2. Letter of Recommendation from the Department Committee
3. Letters of Reference: External and Internal
4. List of Proposed Referees from Member
5. Copy of Letter sent to External Referees Soliciting the Reference Letter
6. Statement from Member: summary of activities including research
7. Curriculum Vitae
8. Teaching Documentation/Teaching Dossier  
(If evaluative letters are included, separate the peer evaluations from the student letters)

➤ **Do not submit documentation in any type of binder, folder, etc.**

**A. *TENURE***

An application for tenure submitted to the Dean's Office will include the following, ***without exception*** (see below for a detailed outline of the components of the application):

1. ***Department Recommendations:*** 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 tenure.
2. ***Letters of Reference:*** Preferably three (3) and no fewer than two (2) letters of reference from arms-length external referees (outside of Dalhousie University) including at least one from an individual suggested by the faculty member.
3. ***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.
4. ***Curriculum Vitae:*** includes education and employment history, academic and professional experience, research activities, professional memberships, list of publications, etc.
5. ***Teaching Documentation/Teaching Dossier:*** A teaching dossier must document the ***quantity*** of teaching (undergraduate, graduate, postgraduate, CME, 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.

**B. *PROMOTION***

An application for promotion submitted to the Dean's Office will include the following, (see below for a detailed outline of the components of the application):

**Clinical Faculty Only:** Letters of reference from external referees should address clinical/professional service where applicable. Additional letters of reference from practising physicians are required to specifically address clinical/professional service in terms of the standards outlined above.

1. **Lecturer to Assistant Professor:**

- a) ***Department Recommendations:*** 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 to Assistant Professor. **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.**
- b) ***Letters of Reference:*** One or more letter(s) of reference from an internal and/or external referee.
- c) ***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, administration and clinical/professional service (where applicable).
- d) ***Curriculum Vitae:*** includes education and employment history, academic and professional experience, research activities, professional memberships, list of publications, etc.
- e) ***Evidence of Teaching Effectiveness/Teaching Dossier:*** A teaching dossier must document the **quantity** of teaching (undergraduate, graduate, postgraduate, CME, public and patient education) and the **quality** as evaluated by students, trainees, 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.

2. **Assistant to Associate Professor:**

- a) ***Department Recommendations:*** 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 to Associate Professor. **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.**

- b) ***Letters of Reference:*** Preferably three (3) and no fewer than two (2) letters of reference from arms-length external referees (outside of Dalhousie University), including at least one from an individual suggested by the faculty member. **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.**
- c) ***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, administration and clinical service (where applicable).
- d) ***Curriculum Vitae:*** includes education and employment history, academic and professional experience, research activities, professional memberships, list of publications, etc.
- e) ***Evidence of Teaching Effectiveness/ Teaching Dossier:*** A teaching dossier must document the **quantity** of teaching (undergraduate, graduate, postgraduate, CME, 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.

### 3. Associate to Professor:

- a) ***Department Recommendations:*** 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 to Professor. **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.**
- b) ***Letters of Reference:*** Preferably four (4) and no fewer than three (3) letters of reference from arms-length external referees (outside of Dalhousie University), including at least one from an individual suggested by the faculty member. **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.**
- c) ***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, administration and clinical/professional service (where applicable).

- d) ***Curriculum Vitae***: includes education and employment history, academic and professional experience, research activities, professional memberships, list of publications, etc.
- e) ***Evidence of Teaching Effectiveness/ Teaching Dossier***: A teaching dossier must document the **quantity** of teaching (undergraduate, graduate, postgraduate, CME, 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.

## C. **COMPONENTS OF THE APPLICATION**

### 1. **Letters of Recommendation:**

The letter of recommendation should include a comprehensive evaluation of the application with respect to the criteria established by Dalhousie University and standards set 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 Promotion and Tenure Committee, Department Head, Faculty Promotion and Tenure Committee and the Dean.

**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.**

### 2. **Letters of Reference**

In accordance with Regulations 6.2.5 and 6.2.6 and Clauses 16.10 and 16.11 of the Collective Agreement, in choosing the names of persons to be approached for recommendations, 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 references.

In cases of tenure and of promotion to Associate Professor, it is recommended that three, and no fewer than two, reference letters from arms-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, reference letters from arms-length external referees be supplied with the application, (including at least one from an individual suggested by the faculty member).

An arms-length external referee is an individual who is not employed by Dalhousie University, and who is able to comment on the faculty member's 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.

The acquisition of reference 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 of reference are as follows:

- × The faculty member being considered for promotion and/or tenure will be requested to suggest possible external references. In accordance with the Collective Agreement and the Regulations, at least half of the persons approached for references 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 \_\_\_."
- × In accordance with Clause 18.11 of the Collective Agreement, 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, 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 arms-length referees whose impartiality cannot be doubted should be sought. If references from clients, former associates, former research directors, etc., are used their opinions should be manifestly supportable and must not be the only referees.
- × Letters of reference and other confidential evaluative material contained in the special file (for promotion and/or tenure) are to be handled in accordance with Clauses 18.08, 18.09 18.11 and 18.12 of the Collective Agreement.

3. **Statement from Member:** A covering letter/statement from the member which includes a detailed summary of activities in the categories of teaching, research, administration and clinical/professional service (where applicable).

4. **Curriculum Vitae:** The curriculum vitae (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
- × Administrative activities

**Clinical Faculty Only:** *Clinical/Professional Service:*

- × CME 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 in Teaching Dossier--see below)*

**5. Teaching Documentation/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.

The teaching dossier for tenure and promotion purposes 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.

In accordance with the Dalhousie Faculty Association and Dalhousie University, only Faculty approved evaluation forms may 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 for tenure and promotion purposes 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. The teaching dossier will consist of three parts, the first of which is to be accumulated by the teacher: (Refer to Appendix II for additional information on the teaching dossier)

**I *Information from Self*** - List the following:

- × Teaching appointments held
- × Teaching responsibilities (i.e. courses taught, tutoring, seminars given, case rounds, clinical pathological conferences): undergraduate, graduate, postgraduate, continuing medical education, thesis supervision
- List all courses taught in each year of the candidacy with the number of students enrolled in each
- × Involvement in evaluation and examination processes
- × Student publications or theses
- × Research related to teaching:
  - Publications (journals of education, medical education; textbooks; chapters in textbooks)
  - Unpublished papers
  - Presentations (at education-related meetings, conferences, etc.); projects (completed and in progress)
- × Educational Innovations:
  - Program development
  - Change or revamping of courses
  - Development of teaching or learning materials, e.g. audio-visual tapes, computer learning programs, laboratory manuals, course materials, etc.
- × Special Educational Training: courses, workshops, etc.
- × Administrative activities related to teaching: course chair positions, program directorships, specific aspects of course implementation and/or evaluation, committee membership
- × Teaching awards, citations, honours received
- × Recognition from external (non-university) sources regarding teaching effectiveness

**II *Information from Students: (Collected by the department)***

- × Course Evaluations (approved forms: representative sample or summary only)
- × Teaching Evaluations (approved forms: representative sample or summary only)
- × Input from student committees
- × Letters from current and former students, residents and/or interns
- × Letters from supervised students (i.e. thesis, research)

III ***Information from Colleagues: (Collected by the department head and to include letters from faculty members in a position to have appropriate knowledge of teaching involvement)***

- × Evaluation of teaching/course materials
- × Evaluation by colleagues of contributions to teaching in the department, university and community (including program planning, faculty development, curriculum development, etc.)
- × Department Head's overview of member's teaching effectiveness

A booklet on compiling a comprehensive teaching dossier, entitled "Recording Teaching Accomplishment: A Dalhousie Guide to the Teacher Dossier," is available from the Centre for Learning and Teaching (phone 494-1622, fax 494-2063). This office also offers workshops on the subject. The dossier submitted for tenure and promotion purposes should be a concise and condensed version of the complete teaching record.

***APPENDIX I***

***SAMPLE LETTER***

***SOLICITATION FROM DEPARTMENT HEAD OF NAMES OF EXTERNAL REFEREES***

Dear [Candidate]:

Letters of appraisal of your work are being sought from external referees in the consideration of your application for promotion/tenure. At least one letter from a list of three (or more) individuals you suggest will be obtained. The external referees should be persons whose impartiality cannot be doubted. Clients, former associates, former research directors and co-authors would not generally be considered arms-length. Moreover, you should not communicate with the proposed referees about the matter in question since doing so could raise doubts about their impartiality.

Please provide the names and addresses of suggested referees in the spaces provided below and return to the under-signed no later than \_\_\_\_\_:

***SAMPLE LETTERS FOR EXTERNAL REFEREES***

## **1. LETTER OF REQUEST**

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 the provisions of the collective agreement provide 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 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.

## **2. LETTER WITH DETAILS**

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 the provisions of the collective agreement provide 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 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 (e.g., teaching, administration) 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.

## ***APPENDIX II***

The following is an excerpt from *Recording Teaching Accomplishment: A Dalhousie Guide to the Teaching Dossier* (O'Neil & Wright), and is reprinted with permission. The publication is available through the Centre for Teaching and Learning, Dalhousie University.

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### ***The Step-by-Step Creation of a Teaching Dossier***

Though the compilation of documentation is an on-going activity, sooner or later the professor is faced with the preparation of an up-to-date dossier for review by colleagues. This short chapter, adapted from the *CAUT Guide*, simplifies the task by proposing a step-by-step approach to creating the teaching dossier\*.

***Step 1. Clarify teaching responsibilities:*** There often exists between colleagues an informal understanding concerning teaching responsibilities and criteria for judging teaching success. The first step in preparing the teaching dossier is to summarize these understandings. Points covered might include the numbers and types of courses to be taught, how students are to be evaluated, and the nature of progress expected of students. Where there is no informal understanding, the consequence can be arbitrary and shifting evaluation criteria; in such cases, the professor should include a brief statement of his or her own assumptions concerning responsibilities and obligations.

***Step 2. Select items for the teaching dossier:*** The list of possible items for a teaching dossier is examined. Paying particular attention the statement in Step 1, the professor selects those items

which are most applicable to his or her assigned teaching responsibilities. Item choice should also accommodate the professor's personal preferences and teaching style.

Step 3. Prepare statements on each item: The professor then prepares a statement about activities, initiatives, and accomplishments in each area, referring to back-up documentation and appendices when appropriate.

Step 4. Order the items: The statements are arranged in the order which best fits their intended use. For example, if the professor is trying to demonstrate improvement in teaching, entries accenting improvements would figure prominently.

Step 5. Compile back-up evidence: Copies of all printed items referred to in the dossier should be kept by the professor and made available if required. These would include such things as examination papers, original replies to course evaluation questionnaires or official summaries of summative evaluations, letters from colleagues and students, and samples of student work. These materials are not part of the dossier, but are back-up information in case original documentation is required.

Step 6. Incorporate dossier into curriculum vitae: The professor inserts the completed dossier into the CV under the heading "Teaching" or "Instruction." Precisely where it is placed in the CV in relation to the sections on research and service should reflect departmental guidelines and, possible, the relative place of teaching among the professor's university responsibilities.

Step 7. Append exemplary materials: When the professor submits the updated CV to a tenure and promotion committee, it may be accompanied by material which constitutes evidence supporting claims: an exemplary course outline, a reading list, and examination keyed to objectives, a numerical summary of student course evaluations or unsolicited letters of praise from students.

\* Shore, B.M. et al., *The Teaching Dossier: A Guide to its Preparation and Use*. Revised Edition, 1986. Ottawa: Canadian Association of University Teachers.

### **Choosing Items for your Teaching Dossier**

What items should an individual professor include in his or her teaching dossier? The Guide published by the Canadian Association of University Teachers in 1986 lists 49 items, under the following categories: the products of good teaching, material from oneself (emphasizing both current responsibilities and efforts towards improvement), and material from students, colleagues and other sources. An informal tally based on our experience conducting workshops with approximately 150 professors showed the following items were most often selected as the ones to include in dossiers (listed in descending order of popularity). The items you select will depend on your particular teaching profile and the requirements of your department.



1. Student course and teaching evaluation data which suggest improvements or produce an overall rating of effectiveness or satisfaction.
2. List of course titles and numbers, unit values or credits, enrolments with brief elaboration.
3. List of course materials prepared for students.
4. Participation in seminar, workshops, and professional meetings intended to improve teaching.
5. Statements from colleagues who have observed teaching either as members of a teaching team or as independent observers of a particular course, or who teach other sections of the same course.
6. Unstructured (and possibly unsolicited) written evaluations by students, including written comments on exams and letters received after a course has been completed.
7. Attempts at instructional innovations and evaluations of their effectiveness.
8. Information on professor's availability to students.
9. Participation in course or curriculum development.
10. Evidence of effective supervision of Honours, Master's, or Ph.D. theses.
11. Preparation of a textbook or other instructional materials.
12. Record of the changes resulting from self-evaluation.
13. Student essays, creative works, and project or field-work reports.
14. Journals read on improving teaching and attempts to implement acquired ideas.
15. Research conducted on one's own teaching or course.
16. Students' scores on teacher-made or standardized tests, possibly before and after a course has been taken, as evidence of learning.
17. Evidence of help given to colleagues on teaching improvement.
18. Description of how films, computers or other non-print materials were used in teaching.
19. Honours or recognition such as a distinguished teacher award or election to a committee on teaching.
20. Evaluation of contributions to course development and improvement.

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