

**School of Information Management  
Dalhousie University**

**Appointments, Promotion, and Tenure Committee**

Terms of Reference, Policies, and Procedures

**Composition**

- (1) All members of the full-time faculty;<sup>a/b/c</sup>
- (2) A member of the returning year student body;<sup>d</sup>
- (3) A member of the alumni;<sup>e</sup>
- (4) A member of the part-time faculty;<sup>f</sup>

*Notes*

- a. Full-time faculty, those with appointments of 50% or more, i.e., are in the bargaining unit.
- b. The Director is invited to join the Committee during all meetings regarding appointments and re-appointments.
- c. Members of the Faculty of Management Committee should not attend meetings of the Appointments, Promotion and Tenure Committee on a case to be heard by the Faculty Committee nor should the Director.
- d. The Student representative shall be elected by the members of the full-time faculty from a list of nominees provided by the Student Association. Students nominated must have completed at least one half of the School's program.
- e. The Alumni representative shall be elected by the member of the full-time faculty from a list of nominees provided by the Alumni Association.
- f. The part-time faculty representative shall be elected by the members of the full-time faculty from a list of the part-time faculty teaching in the current year. Part-time faculty are those teaching less than 50% of the normal teaching load.
- g. All terms are for one year (September 1 – August 31).

**Procedures**

The Director will chair the first meeting of the Committee in each academic year and whenever a vacancy in the Committee membership occurs. The Director will present to the Committee the lists of students, alumni and part-time faculty and conduct the following elections: representative of the Student Association; representative of the Alumni Association; representative of the part-time Faculty; Chair and Committee Secretary.

The Director shall have a vote on all matters except when the Committee is considering tenure and promotion cases.

The Secretary will prepare detailed minutes of matters of procedure and policies. When specific cases are under discussion only actions taken by the Committee will be recorded in the minutes.

Members of the School shall be informed by the Director when a case for appointment, reappointment, tenure or promotion is to be considered. The School is defined for this purpose as those holding an appointment from the Board of Governors in the academic year in which the case is being considered.

The Committee is bound by the Collective Agreement Section on "Professional Ethics" in clauses 17.03

and 17.04.

“17.03 Members have the obligation to defend the right of their colleagues to academic freedom. It is unethical for them to act so as deliberately to infringe that freedom. Members must strive to be fair and objective when presenting a professional judgment of a colleague and refrain from unjust criticism of the character or competence of colleagues.

17.4 Subject to Article 18, Members have the responsibility to respect the confidentiality of information about a colleague gained during participation in a committee dealing with such matters as appointment, reappoint, promotion, tenure, continuing appointment, appointment without term, dismissal or in the discharge of other administrative duties or responsibilities.”

For guidance on matters of fairness the Committee is referred to the CAUT Information Paper “What is Fair.” (See Appendix A)

Upon final determination of a case before the Committee all copies of documents will be returned to the Director.

### **Appointments**

All appointments shall be made in accordance with the Senate “Regulations Concerning Appointments, Tenure and Promotion” and the Collective Agreement between the University’s Board of Governors and the Faculty Association.

The Director shall inform the Committee when there is a vacancy to be filled.

The Committee will determine the areas of teaching and research to be sought in the candidate(s) for appointment.

The Director will be responsible for ensuring that all University regulations and procedures are followed in the hiring process.

Applications for appointment and supporting documentation shall be made available by the Director to all members of the Committee. The Committee shall determine which candidates shall be interviewed. The Committee shall endeavor to afford comparable treatment to each candidate being interviewed. Preferably candidates should present a formal public lecture on campus and conduct a class session prior to their meeting with the Committee.

The Director shall be responsible for making arrangements for any preliminary interviews that might take place and for the campus visits.

The Committee Chair may request from the Director information on the steps being taken in the hiring process.

### **Re-Appointments**

All appointments shall be made in accordance with the Senate "Regulations Concerning Appointments, Tenure and promotion" and the Collective Agreement between the University's Board of Governors and the Faculty Association.

Members of the Committee may also consult the DFA *Under the Microscope: Tenure, Promotion and Re-appointment*.

The Director shall inform the Committee at the beginning of each academic year of any cases that need to be considered for re-appointment. Such notification shall indicate whether the case involves probationary tenure-track; tenure-track or limited term appointments together with any conditions applying to the candidate. The time frame for each consideration should be provided to the Committee.

All cases shall be determined by the Committee in accordance with the criteria in Clause 14.15 of the Collective Agreement.

"14.15 Unless early consideration for tenure has been agreed, a probationary or probationary tenure-track appointee shall be considered for reappointment no later than the fall term of his or her third year but, with the mutual consent of the Member and the Chairperson, Head, Director, Chief Librarian or Dean, may be considered as soon as the spring term of his or her second year. The procedures used shall be those given in Clause 14.11. A decision shall be reported to the Member by 31 October of that year if there is fall consideration and 30 April if there is spring consideration. If reappointment is not offered, the reasons shall be given in writing, to the Member upon his/her request at the same time as he or she is informed of the decision not to reappoint.

Assessment of a candidate for reappointment shall be based on evidence that:

- (a) the relevant provisions of the previous appointment have been respected and fulfilled, where appropriate;
  
- (b) the quality of the teaching, librarianship, research, scholarly, artistic and/or professional activity has been satisfactory. Particular strength in some characteristics may be considered to counterbalance relative lack of strength in others so that decisions taken are based on an overall assessment of performance and worth. No Member may be reappointed, however, if performance in any characteristic is less than satisfactory;
  
- (c) program and budgetary considerations have been satisfied, in accordance with the provisions of Articles 25, 26 and 27 of this Collective Agreement."

Candidates may choose to attend meetings of the Committee at which their case will be considered, but will be asked to withdraw when the Committee deliberates on the case.

Student evaluations in the form approved by Faculty Council will be made available to the Committee and the Candidate.

Comments and remarks written by students during these evaluations are considered inadmissible unless the comments are signed. Signed comments are confidential but will be revealed to the candidate without identifying their authors. At the request of the candidate a representative of the DFA is entitled to review any original document and its edited form to ensure that such deletion and editing as have occurred serve only to conceal the identity of the author.

Members of the Committee may provide formal letters for consideration in a case before it. Any other individual may submit letters to the Committee. Unless confidentiality is requested such letters will be made available to the candidate also. Where confidentiality is requested the letters will be treated in the same manner as confidential information in the preceding paragraph.

## **Tenure and Promotion Guidelines**

Consideration for tenure and promotion shall be governed by the Senate "Regulations Concerning Appointments, Tenure and Promotions" and the Collective Agreement between the University's Board of Governors and the Faculty Association, and the Faculty of Management "Guidelines for Tenure and Promotion" as given below:

### **"I. CRITERIA**

1) Academic and Professional Qualifications This criterion is normally satisfied by an appropriate doctoral degree. In individual cases, or in specific disciplines within a School, appropriate professional qualifications and experience may be substituted for the doctoral degree. The candidate must be informed, at the time of appointment, what the required qualifications are for tenure and promotion in his or her case.

### 2) Teaching Effectiveness

The major tasks of the instructor lie primarily in imparting the basic concepts, principles, and theories of his or her field of specialization; in imparting a range of intellectual, professional skills; and also in imparting appropriate professional values. Furthermore, the instructor's effectiveness is evidenced by his or her ability to stimulate the intellectual interest and operational capacity of his or her students.

Teaching includes lectures, seminars, laboratories, tutorials, and field instruction, supervision and co-ordination. It also extends to less formal teaching situations, such as counseling students and directing graduate student research, theses, and in the practicum.

Only in part can teaching effectiveness be evaluated. As well, some aspects are more appropriately

evaluated by students, while others are more appropriately evaluated by colleagues. Those aspects of teaching that can be evaluated, either by students or colleagues, or both, include:

- i) the formulation of explicit learning objectives for courses;
- ii) the ability to demonstrate the relevance of instructional materials;
- iii) the development and communication of criteria for evaluation of students' performance;
- iv) the extent to which constructive feedback is provided to students;
- v) the ability to communicate with clarity, focus, and due regard for the level of comprehension attained by students;
- vi) the availability of the instructor outside class periods;
- vii) the responsiveness of the instructor to students' academic problems;
- viii) the degree of effort devoted to motivating students to learn; In addition to these criteria and those indicated in the reports of the individual Schools, there are other valid approaches to effective teaching. It is the responsibility of the individual Schools to adapt the general criteria listed in this section to the evaluation of alternative approaches and field instruction, where relevant.
- ix) the extent to which efforts are made to provide practical applications (through case studies, workshops, etc.) of the basic concepts presented in the course;
- x) the time an instructor spends on his or her development as a teacher;
- xi) the extent to which course designs and pedagogical approaches are revised and brought up to date; and
- xii) the efforts to use in the classroom knowledge derived from on-going practice in the field.

In addition to these criteria and those indicated in the reports of the individual Schools, there are other valid approaches to effective teaching. It is the responsibility of the individual Schools to adapt the general criteria listed in this section to the evaluation of alternative approaches and field instruction, where relevant.

Instruments used for evaluation of teaching effectiveness must be designed by individual Schools and approved by Faculty. It is also the responsibility of the Schools to determine the necessity and extent of evaluation by colleagues and to provide the Faculty Tenure and Promotions Advisory Committee with adequate analysis and interpretations of the raw data generated from these evaluations.

### 3) Contributions to an Academic Discipline and Profession

The purpose of this section is to summarize the interpretation and application of this criterion as it has evolved in the Faculty. Basically, it suggests that a candidate who has successfully fulfilled the requirements of this criterion

has won a positive response to the following questions:

- i) Can the contributions be viewed as a demonstration of vigor, originality, and judgment which have gained the candidate the recognition of members of his or her discipline or profession, both inside and outside of Dalhousie?
- ii) Do the contributions reflect a continuing productive activity that advances the knowledge of the discipline or profession?

In other words, an important consideration for tenure and/or promotion should be the promise of future intellectual and professional development. This will inevitably be based on the vitality and progress the candidate has demonstrated as a teacher, scholar, and creative professional during his or her contract years at Dalhousie. A positive judgment on this criterion means that members of the relevant School Committee are reasonably convinced that the candidate will continue to make a valuable contribution to the field.

Performance on this criterion will be evaluated by assessing achievement in research or creative professional work. The interpretation of this criterion is constrained by the fact that a professional faculty must be as concerned with the applications of knowledge as with its creation. Hence, in this Faculty, creative professional work has equal value to formal academic activities.

Achievement in the latter case may be evidenced primarily, but not exclusively, by published work in the candidate's area of competency, including books, monographs, articles and reviews in journals of high repute and, where appropriate, scholarly research expressed in other activities. Schools and candidates are asked to indicate which publications have been submitted to a review process. In addition to publications, relevant activities may be reported in other forms, including unpublished papers, computer software, transcripts or tapes of broadcast material, films, and other art forms as appropriate to the subject matter of the member's work. Research carried out under contract may be considered as evidence of a member's scholarly activity or reputation, and it will be assessed as research if the results of the work are available to others and meet acceptable standards of scholarship as judged by peers.

Some possible activities that may be designated as professional contributions are: contributions at conferences of learned societies and professional workshops; case research; field projects and consultancy leading to publications of material and/or use in course design or in pedagogy; development of professional techniques; research grants for academic studies; production of instructional manuals; computer-based "courseware"; research in pedagogy; scholarly research expressed in media other than print (e.g., workshop presentations, design of simulations, etc.); community service of high intellectual calibre related to the professional discipline; reviews for professional journals; active-creative participation in professional associations (e.g., creating local chapters of professional organizations or alternative professional organizations); use of sabbatical leave for professional development; contributions to interdisciplinary research. In all cases, such professional work must be comparable in level and intellectual calibre with scholarly production and relate directly to (a) the candidate's field of specialization and/or interdisciplinary research; (b) the design of teaching programs; (c) the development of pedagogical strategies, and (d) the extension of theoretical and practical dimensions of the field.

Where the faculty member seeks tenure or promotion on the basis of such contributions, it is his or her responsibility, and that of the School, to ensure that assessments of those contributions by appropriate external

evaluators are made available.

The basis for the evaluation of contributions to an academic discipline or profession is peer assessment. It is the responsibility of each School and Director to ensure that external peer assessments are obtained in respect of each candidate for tenure and/or promotion, prior to the date specified by the Collective Agreement for recommendations to be made to the Faculty Tenure and Promotions Advisory Committee. Where a candidate's work has appeared other than in refereed publications, it is the responsibility of the candidate to provide copies of the work in a form suitable for external assessment, and it is the responsibility of the Director to arrange for external assessments of that work by competent referees. Insofar as it is feasible, referees should be asked to make an overall assessment of the candidate's work, rather than to comment on individual items in isolation. Each referee should be asked specifically to give his or her judgment of the appropriate answer to the two questions posed in (3)(i) and (ii) above.

In the Faculty of Management, a minimum of two external letters of reference must be obtained for consideration of tenure or promotion to associate professor, and a minimum of four must be obtained for consideration of promotion to professor.

In addition to the minimum requirements for external assessments outlined above, candidates may submit or request references from others within or outside Dalhousie. The School or Faculty committee, or the Director or Dean, may also request additional assessments if, in their judgment, such would be helpful in evaluating a case for tenure or promotion. Any such request must, of course, be consistent with relevant provisions of the Collective Agreement, including the provision that half of any such additional referees must be selected by the candidate.

4) Ability and Willingness to Work with Colleagues so that the Academic Units Concerned Function Effectively

This means ability and willingness to "pull one's weight" and to carry one's teaching and administrative responsibilities, including committee work, of the School, Faculty, and University. It does not refer to one's ideological, political, and social relations with one's colleagues.

If the School and University are to function effectively, faculty members must not only teach and perform their personal research competently, but they must also be able to work together as a team. In order to achieve this, it is reasonable to expect from all faculty members co-operative, constructive participation in teaching, administration, and committee work. Evaluation of performance on this criterion must allow for a higher level of achievement. Faculty should thereby be encouraged not only to contribute to system maintenance, but to exercise leadership and engage in constructive participation in program development and administration. Those who excel in this dimension should have their contribution fully recognized, not simply checked off as having reached a minimal threshold of achievement. At the same time, the quality and effectiveness of such contributions must be assessed on the basis of positive evidence of accomplishment.

Only in extreme cases can a faculty member's relationships with his or her colleagues be a reason for withholding tenure or promotion. University teaching needs to attract and retain persons whose inclination and training makes them relentless pursuers of knowledge. Compromise often does not come easily to such persons, and

some friction in a university is inevitable. An efficient administration will keep this friction to a tolerable level, but the absence of friction is likely to be a sign that the University is intellectually moribund. Consequently, conflict between a faculty member and the director or other colleague in the University should not be taken as grounds for refusing the faculty member tenure or promotion unless he or she acts with such irresponsibility that the work of the School is seriously impaired.

Members have the obligation to defend the right of their colleagues to academic freedom. It is unethical to act so as deliberately to infringe that freedom. Members must strive to be fair and objective when presenting a professional judgment of a colleague and refrain from unjust criticism of the character or competence of colleagues. Action aimed at discrediting a colleague by manipulating or influencing students or other colleagues shall be viewed as a serious infringement of the colleague's right and freedom.

#### 5) Personal Integrity

The personal integrity of a faculty member must be judged by his or her behaviour within and, in exceptional circumstances, outside the University.

##### i) Within Dalhousie

If a faculty member is to qualify for tenure, his or her behavior within the University must conform to society's standards of responsible behavior as they relate to the role of the University. This does not imply that a faculty member may not express his or her opinion within the University on any subject with as much energy as he or she chooses, however unpopular his or her viewpoint may be; but it does require that he or she should do nothing which restricts the rights of other members of the University community, or which gives rise to reasonable doubts about his or her academic fairness as a teacher and examiner.

##### ii) Outside Dalhousie

In very exceptional circumstances, a faculty member's behavior outside Dalhousie may be relevant to tenure. However, his or her conviction for a criminal offence relating to an action not connected with Dalhousie or his or her flouting of the moral and social standards of the society in an outrageous and ostentatious manner might, on rare occasions, give rise to justifiable doubts about his or her suitability for a permanent position. Political, social, and religious pressures on the University to rid itself of a non-conformist may sometimes be strong. In our view, these pressures must be resisted at all costs or academic freedom will be at an end; and the University will become no more than a mindless purveyor of the doctrines of the groups currently holding power in society.

Personal integrity should be an unquestioned prerequisite for tenure and promotion.



### III. STANDARDS

Candidates for tenure and/or promotion must first be judged as at least satisfactory in terms of academic and professional qualifications and of personal integrity.

Candidates are then evaluated regarding the three remaining criteria on a scale of one to five, as follows:

	Unsatisfactory		Satisfactory		Excellent
Teaching effectiveness	1	2	3	4	5
Contributions to an academic discipline	1	2	3	4	5
Ability and willingness to work with colleagues	1	2	3	4	5

#### 1) Tenure

Each Director and/or Committee with responsibility for judging faculty members' suitability for tenure should establish what a satisfactory level of performance is in respect to each criterion. This should then be communicated in writing to members of the School concerned, and must be incorporated explicitly in recommendations to the Faculty Tenure and Promotions Advisory Committee. A minimum score of at least 9 will be required for a positive recommendation for tenure, provided the applicant does not score one on any of the criterion.

#### 2) Promotion

The criteria discussed above are equally appropriate when considering faculty members for promotion. However, the standards demanded under each criterion should rise as a faculty member progresses through the ranks. Promotion from lecturer to assistant professor in this Faculty is normally granted when the candidate has obtained the appropriate qualifications and experience. For promotion to associate professor, a faculty member should have demonstrated a level of achievement which would ensure the granting of tenure (if he or she does not already hold it), and have established himself or herself as a scholar and teacher (unless the terms of appointment explicitly exclude obligation for either). The minimum total score of 9 will be required for positive recommendation for promotion from assistant to associate level. Promotion to full professorship should be granted only where the faculty member concerned has demonstrated effectiveness as a teacher and has gained wide recognition as a contributor to his or her discipline or profession (subject to any special exclusions from responsibility in these areas explicitly stated in the terms of appointment) and has justified confidence that he or she would continue to maintain his or her reputation. The minimum total score of 10 will be required for a positive recommendation for promotion from associate to professor, provided the minimum score is not less than 3 on any of the criterion.

Even if a faculty member received tenure, subsequent promotion is by no means

automatic and will be decided by judgment on the criteria and standards described in these Guidelines. On the other hand, promotion should not be retarded by any consideration of the number of faculty members holding various ranks.”

Senate Regulations 5.3.3 say “additional criteria may be established by faculty regulations.” Faculty Guidelines say “Since each School within the Faculty of Management may have distinctive academic and professional characteristics some degree of flexibility must be expected in the application of these guidelines for tenure and promotion. This flexibility must not compromise the consistency with which standards are applied to evaluate performances on all the criteria for tenure and promotion within the Faculty of Management.”

At its meeting on October 24, 1997 the School’s Appointment, Promotion and Tenure Committee discussed the Faculty Guidelines as follows: The Committee considered the issues raised by E. Toms in her memo to N. Horrocks. October 20, 1997:

- 1) Re: II.1 of Faculty of Management Guidelines: what happens when the candidate is not “informed at the time of appointment, what the required qualifications are for tenure and promotion”?

The Committee adopted the following policy: “It is the opinion of this Committee that a Ph.D. is a minimum requirement for tenure and promotion unless the candidate was informed otherwise in writing at the time of appointment.”

- 2) Re: II.2 of the Guidelines: “some aspects [of teaching effectiveness] are more appropriately evaluated by students, while others are more appropriately evaluated by colleagues.” What evidence will be used to evaluate each aspect of teaching listed in the Guidelines, and will any other aspects of teaching be considered? Will each case be considered for each aspect?

The evidence considered will include student evaluations, letters submitted to the Committee, and the candidate’s submission in the teaching dossier. In addition, the candidate may submit evidence of other aspects of teaching for examination by the Committee.

- 3) Re: II.2 of the Guidelines: “It is also the responsibility of the Schools to determine the necessity and extent of evaluation by colleagues and to provide the Faculty Tenure and Promotions Advisory Committee with adequate analysis and interpretations of the raw data generated from these evaluations.” How is the faculty assessment of a colleague’s teaching effectiveness handled? How is the adequate analysis of raw data to be handled?

There is no formal evaluation mechanism currently in place. In the past, the Committee members themselves have provided the evaluation by colleagues. It was suggested by G. Barlow that this be addressed in a long-term revision of the Committee’s procedures.

- 4) Re: II.3 of the Guidelines: in assessing the candidate’s contributions to an academic discipline and profession, “creative professional work has equal value to formal academic activities.” What constitutes creative professional work, and how will it be evaluated?

The Committee felt that the description of professional contribution on p. 5 of the Guidelines was satisfactory, together with the statement on p. 4: "a professional faculty must be as concerned with the applications of knowledge as with its creation. Hence, in this Faculty, creative professional work has equal value to formal academic activities."

5) Re: II.3 of the Guidelines, which specifies that "a minimum of two external letters of reference must be obtained for consideration of tenure or promotion to associate professor": should the number be precisely determined?

The Committee declared that three external letters of reference would be obtained in a case of appointment, reappointment, tenure, and promotion to associate professor.

6) Re: Page 9 of the Guidelines, which provides the numerical scale of evaluation: what do the numbers mean?

The differences between the different numbers on the scale have not been formally defined.

7) How is the vote taken in a Committee?

Each Committee member has the right to vote, and in the past, each member has had the right to request a secret ballot. In the view of the Committee, no secret ballot should be allowed. The Committee would evaluate the criteria after all the evidence has been examined.

8) Re: III.1 of the Guidelines; "Each Director and/or Committee with responsibility for judging faculty members' suitability for tenure should establish what a satisfactory level of performance is in respect to each criterion."

When the business currently before the Committee in its Promotions and Tenure role has been completed, the Committee will attempt to formulate more specific interpretations of the Guidelines for the School, which can be applied over the long term.

At the meeting of the Committee on 26<sup>th</sup> October 1999, the Committee confirmed that it did not wish to add any further interpretations to the Guidelines.

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