

 <b>DALHOUSIE UNIVERSITY</b> FACULTY OF HEALTH  <b>Procedural Guidelines for Unit-level Reappointment, Tenure and Promotion Committees</b>	<i>Policy Sponsor:</i> Dean	<i>Approval Date:</i> July 15, 2004
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## INTRODUCTION

It is the purpose of this document to aid unit-level Reappointment, Tenure and Promotion Committees in considerations of candidates appointed to the ranks of the professoriate as well as Instructor members.

The Collective Agreement between the Board of Governors of Dalhousie University and the Dalhousie Faculty Association (hereinafter referred to as the CA) is the final authority on reappointment, tenure and promotion issues. Nevertheless, the Faculty of Health is free to add criteria for tenure and promotion (Clause 15.04) and establish procedures that complement and are not inconsistent with those outlined in the CA. The *Faculty Guidelines and Criteria for Reappointment, Tenure & Promotion* can be found on the Faculty of Health website ([www.dal.ca/health](http://www.dal.ca/health)).

## REAPPOINTMENT – CONTINUING INSTRUCTORS

Reappointment follows Collective Agreement Articles 12 and 14. Procedures should be provided to the member with the letter of offer from the Dean. Each Unit may develop written procedures, in which event those will be communicated to Instructors at appointment.

### Timelines and process

Typically, an Instructor in a probationary appointment is considered for reappointment to a second probationary period in the fall term of their third year. If the Instructor is reappointed, then consideration for a continuing appointment at the rank of Senior Instructor normally commences in the fall term of their fifth year (clause 12.17). If successful, appointment as Senior Instructor is effective the following July 1. If not, the Instructor continues in the probationary appointment which will conclude as set out in the letter of appointment.

**Notification** by the Director that a member is eligible for reappointment normally occurs in the spring/summer for file submission by September 1. However, timing depends on when the candidate was appointed; dates should be set out in the letter of appointment (Clause 14.13; 14.15). Applicants should be advised that if they identify as Aboriginal/Indigenous or African Nova Scotian they may choose an Aboriginal/Indigenous or African Nova Scotian individual with a Dalhousie academic appointment to sit on the Unit-level Appointments Committee (clause 14.15(c)). The Scotian representative is non-voting but shall advise the Committee on aspects relevant to the applicant's heritage or identity and may include a separate report for the file.

**Submission** of an applicant package (see below) is normally by September 1.

**Recommendations to the Dean** by the Unit-level Committee and Director shall be submitted by 1 October or 1 April, deadlines set by the Faculty of Health. The **President's decision** shall be reported by 31 October for fall consideration and 30 April for spring consideration.

### Committee Membership

Unit-level Appointments Committees are established as per the DFA Collective Agreement. For considering reappointment applications, committees **must** include an Instructor member. If no instructor is available from the Unit, the DFA will name one for the Committee (clause 12.12).

### Criteria

Review of Continuing Instructors should ensure "the effectiveness and general competence with which teaching and other primary duties and responsibilities are being carried out by the Member are at the norm for other instructors" (12.17(d)).

### Required Documentation

1. A cover letter to the Chair of the Appointments Committee summarizing assigned workload since the initial appointment. This letter serves as an executive summary of the application.
2. An updated C.V.
3. Evidence of teaching effectiveness:

- A teaching dossier, which speaks to the assigned duties (based on the job description and workload) and philosophy of teaching.
- An account of the pedagogical/professional activity undertaken since the initial appointment.
- Formal or informal written comments from others (e.g., colleagues, tutors, teaching assistants, demonstrators, clinical preceptors, Centre for Learning and Teaching staff) acquainted with the applicant's teaching or pedagogical/professional activity.
- Account of contributions to student supervision (clinical supervision, co-supervision of honours and/or graduate thesis students).
- Student evaluations of all courses taught interpreted in accordance with CA clause 18.09(e).

4. Evidence of service involvement:

- An account of service activity undertaken since the initial appointment.
- Details of the impact on Unit, program, university, community or profession.
- Details of other outreach activities or initiatives.
- Letters of support from colleagues and/or internal or external stakeholders acquainted with the applicant's service activity.

5. Evidence of other assigned workload activities as outlined in the job description or beyond:

- Details of other assigned workload e.g., scholarship of teaching/learning, student supervision.
- Evidence of contributions to curriculum development, program development, university teaching and learning, profession, or discipline.
- An account of other innovative contributions to course development or delivery.

### Role of Appointments Committee

The Instructor seeking reappointment shall have the right to be heard by and submit a written statement to the Unit Appointments Committee (clause 12.12).

The Committee shall submit a recommendation to the Dean through the Unit Director, copying the applicant. Evidence in support of the recommendation should be cited providing the rationale for the recommendation. If the Director does not agree with the recommendation of the Appointments committee, they may submit a separate recommendation to the Dean. The Dean will submit a recommendation to the President who will make a recommendation on behalf of the Board of Governors.

## REAPPOINTMENT – PROBATIONARY TENURE-TRACK

Only the Unit-level Reappointment, Tenure and Promotion Committee, Director, and the Dean consider reappointments, plus the President. No Faculty-level committee is involved.

### Timelines and process

Consideration for reappointment from a probationary tenure track to a tenure track appointment normally takes place in the fall term of the third year (Clause 14.15(a)). Limited term appointments with finite contracts and no expectations for reappointment are excluded.

**Notification** by the Director that a member is eligible for reappointment normally occurs in the spring/summer for file submission in early fall. However, timing depends on when the candidate was appointed; dates should be set out in the letter of appointment (Clause 14.13; 14.15).

Applicants should be advised that if they identify as Aboriginal/Indigenous, African Nova Scotian/African descent, Acadian, dis/Abled, and/or minority sexual orientation/gender identity (SOGI) they may choose a member of that equity-seeking group with a Dalhousie academic appointment to sit on the Unit-level review committee (clause 14.15(c)).

**Application submission** deadlines in each Unit should be set by the Chair of the Unit-level Reappointment, Tenure & Promotion Committee (typically early September) and clearly communicated to those eligible. In considering the file, the equity group representative is non-voting but shall advise the Committee on aspects relevant to the applicant's heritage or identity and may include a separate report to be included in the file.

**Recommendations to the Dean** by the Unit-level Committee and Director shall be submitted by 1 October or 1 April, deadlines set by the Faculty of Health. The **President's decision** shall be reported by 31 October for fall consideration and 30 April for spring consideration.

### Guidelines and Criteria

Evidence must be provided that relevant provisions of the previous appointment have been respected and fulfilled; that the required activities of teaching, research/scholarship, professional and administrative service have been satisfactory; and that program and budgetary considerations have been satisfied (Clause 14.15a (i), (ii), (iii)). Applicants should prepare their reappointment file using the Faculty *Guidelines and Criteria for Reappointment, Tenure & Promotion*, as the Unit-level review aims to assess progress toward meeting tenure criteria. Review committees typically comment on all tenure criteria in their letters.

### Recommendation

If a candidate's work is considered satisfactory, a positive recommendation for reappointment results. If the Committee is unable to recommend reappointment (required activities above have not been deemed satisfactory), the reasons shall be given in writing to the candidate along with the decision not to reappoint (Clause 14.15 (a)). Although there is no appeal process for reappointment in the Collective Agreement, candidates may still be able to grieve the decision.

### Deferral

There is no provision in the CA for deferral of consideration for reappointment. The Dean may consider extension of the probationary tenure track position in exceptional circumstances (e.g., Leave of absence during PTT appointment).

## **TENURE**

If a candidate applies for *both* tenure and promotion at the same time, tenure deadlines prevail.

In tenure and promotion considerations it is important that candidates who are assessed in the same academic year are evaluated consistently and that differences based on academic discipline are considered appropriately.

### Timelines

Faculty members are normally considered for tenure in the fall of their fifth year at Dalhousie (Clause 15.12). This may be earlier if stipulated in the letter of initial appointment, or if requested by the member (Clauses 15.10, 15.11).

**May** – Candidates are urged to discuss their candidacy with their Director as early as May.

**Spring/summer** – Notification by the Dean that a member is eligible for tenure consideration, no later than August 15. Members shall be advised that if they identify as Aboriginal/Indigenous, African Nova Scotian/African descent, Acadian, dis/Abled, and/or minority sexual orientation/gender identity (SOGI) they may choose a member of that equity-seeking group with a Dalhousie academic appointment to sit on the Unit-level review committee (clause 15.20(i)).

**August 15** – Candidates provide a list of at least three referees to their Director. (For details about external referees see below).

**August 25** – Director provides a list of referees to the candidate.

**First Day after Labour Day** – Candidates submit a completed file to their Director no later than this. (Five separate PDF documents: 1. Cover letter and file outline; 2. CV; 3. Teaching dossier; 4. Publications/sample scholarly work; 5. Other appendices. See the Faculty *Guidelines and Criteria for Reappointment, Tenure & Promotion* for guidance.)

**October 15** – Completed tenure files, along with Unit-level Committee's and the Director's recommendations are submitted to the Dean.

**November 30** – the Faculty-level Committee makes its recommendation to the Dean.

**December 31** – the Dean makes recommendations to the President.

**February 28-March 15** – the President's decision is communicated to the member.

### Guidelines and Criteria

General criteria assessed for tenure include academic and professional qualifications, teaching effectiveness, contributions to an academic discipline, ability and willingness to work with colleagues and personal integrity (clause 15.03 (a)). See the Faculty *Guidelines and Criteria for Reappointment, Tenure & Promotion* for details of standards. (Joint appointments see below.)

### Deferral

Before or after procedures for tenure consideration have commenced, candidates have the right to request deferral for up to two years (Clauses 15.13 and 15.14).

### Opportunity to be Heard

The member “shall have the opportunity to be heard by, and to submit a written statement to” the Unit-level committee (clause 15.20). If the member chooses not to meet, the Committee may still seek additional information from and/or request a meeting with the member if clarification or additional information is needed.

### Recommendation

When it appears likely there will be a recommendation that tenure be denied or that tenure consideration be deferred against the candidate’s wishes, the candidate will be informed in writing of the specific concerns and given an opportunity to respond in writing and to provide additional information in writing within 5 days *before* any recommendation is made (clause 15.18(b)). The final recommendation, with reasons, should be copied to the applicant at the same time it is sent to the Director.

### Appeals

Members may appeal a tenure decision after the Dean’s recommendation and before the President’s decision. See clauses 15.27 to 15.31 for details.

## **PROMOTION**

If a candidate applies for *both* tenure and promotion at the same time, tenure deadlines prevail.

In tenure and promotion considerations it is important that candidates who are assessed in the same academic year are evaluated consistently and that differences based on academic discipline are considered appropriately.

### Timelines

**May** – Candidates are urged to discuss promotion requests with their Director as early as May. There is no limit to how often or when a member may request promotion.

**Spring/summer** – Regardless of member-initiated requests, the Dean shall inform members of their eligibility for promotion in the spring/summer and no later than August 15 of their fifth year of service in their current rank (clause 16.10, 16.11). Members shall be advised that if they identify as Aboriginal/Indigenous, African Nova Scotian/African descent, Acadian, dis/Abled, and/or minority sexual orientation/gender identity (SOGI) they may choose a member of that equity-seeking group with a Dalhousie academic appointment to sit on the Unit-level review committee (clause 16.01(i)).

**August 15** – Candidates provide a list of at least three referees to their Director. (For details about external referees see below).

**August 25** – Director provides a list of referees to the candidate.

**September 15** – Candidates submit a completed file to their Director no later than this. (Five separate PDF documents: 1. Cover letter and file outline; 2. CV; 3. Teaching dossier; 4. Publications/sample scholarly work; 5. Other appendices. See the Faculty *Guidelines and Criteria for Reappointment, Tenure & Promotion* for guidance.) Directors provide the Dean’s office with a list of candidates for promotion.

**November 30** – Completed promotion files, along with Unit-level Committee’s and the Director’s recommendations are submitted to the Dean.

**February 15** – the Faculty-level Committee makes its recommendation to the Dean.

**March 31** – the Dean makes recommendations to the President.

**May 31** – the President’s decision is communicated to the member.

### Guidelines and Criteria

General criteria assessed for promotion include academic and professional qualifications, teaching effectiveness, contributions to an academic discipline, ability and willingness to work with colleagues and personal integrity. Promotion is based not upon years of service, but on “positive evidence of actual achievement and accomplishment in... duties and responsibilities” (clause 16.06(a)). See the *Faculty Guidelines and Criteria for Reappointment, Tenure & Promotion* for details of criteria and standards.

### Deferral/withdrawal

At any stage of promotion consideration, a candidate has the right to request that their application for promotion be withdrawn, deferred or terminated (Clause 16.04(a)). No record of the proceedings shall be placed in the applicant’s personal file.

### Opportunity to be Heard

For promotion consideration, the member shall be “given the opportunity to be heard or to present a written statement” (clause 16.04(a)). If the member chooses not to meet, the Committee may still seek additional information from and/or request a meeting with the member if clarification or additional information is needed.

### Recommendation

The final recommendation, with reasons, should be copied to the applicant at the same time it is sent to the Director. The reasoning for promotion decisions should address general criteria for tenure and promotion (clause 15.03), as well as the specific criteria and standards set out in the *Faculty Guidelines and Criteria for Reappointment, Tenure & Promotion*, while also considering the applicant’s specific workload duties and responsibilities (clauses 17 and 20).

If the Committee is not recommending promotion, or recommends deferral, reasons must be provided in writing “with sufficient particularity to assist the member to understand the decision” (clause 16.04).

### Appeals

Where there are discrepant recommendations at differing levels of review, a member may appeal a promotion decision. See clauses 16.13-16.17.

## **JOINT APPOINTMENTS**

### Timing of Notification

In cases of joint appointments, a principal appointment must be stated in the letter of appointment from the Board of Governors (Clause 14.08). Joint appointments require a special review committee consisting of members from each unit in which the member holds an appointment. The composition of this special committee shall follow established procedures of the Units in which the member holds appointments (Clause 15.33 (b)).

Tenure. The Director of the Unit in which the member holds a principal appointment shall notify the member of eligibility for tenure consideration. Directors of the joint appointment Units “shall discuss the situation before any recommendation is made by a tenure committee...” (Clause 15.17), as shall the relevant Deans (clause 15.33). Appointments shall be extended by the period of any deferral (Clause 15.14, 15.35)

Promotion. A member may be considered for promotion in any unit or Faculty in which they hold an appointment. They may be considered for promotion in one unit and not another, and while the special review committee will consult with the other unit, promotion cannot be denied “merely because of failure to reach agreement” (Clause 16.07). Ranks held in different units are independent, and the rank of the principal appointment shall be considered the rank for University purposes (clause 14.08).

## **ACADEMIC APPOINTMENTS WITH TENURE**

When a Unit recommends that an academic appointment be made with tenure, or when the Dean is considering making such a recommendation, the Dean is required by the CA to consult with the Faculty Tenure and Promotions Committee and to report to the President the results of that consultation. The committee will not have all the documentation that would normally be associated with a tenure review and is not asked to carry out such a review nor to make a recommendation about tenure.

Members of the committee are expected to comment on whether the candidate appears to have the qualities and accomplishments normally associated with tenure, and whether there would be serious concerns about granting tenure on appointment. If the candidate is seeking appointment as an Administrator, the Committee should consider the Faculty Criteria for Promotion of Directors, Associate Deans and Deans, which stipulates that Administrative Effectiveness and Leadership may be substituted for teaching or scholarly contributions



## COMMITTEE TERMS OF REFERENCE

### Committee Functions

Reappointment, Tenure and Promotion Committees are committees of peers. Therefore, and in accordance with the CA, the Unit-level Committee is responsible for hearing a candidate's application and accepting their written submission for reappointment (Clause 14.11 (a), 14.15 (a), for tenure (Clause 15.20) or for promotion (Clause 16.01).

### Committee Structure

#### *Membership*

- a) The members of the School/College shall elect all Committee members.<sup>1</sup>
- b) All Committee members shall be eligible for re-election.
- c) A candidate for that year shall not be a member of the Committee.
- d) Any faculty member shall be excluded from membership of a unit-level Committee while serving on another Reappointment, Tenure and Promotion Committee, at the Faculty or University level (clause 36.02).
- e) Efforts must be made to have members of designated groups serve on the Committee where possible (clause 4.03).
- f) Care should be taken that Committee members have the necessary expertise to make informed judgments. This is particularly important when deciding on reappointment or joint appointments. (CAUT Discussion Paper: *What is fair?*)
- g) Unit-level Committees may consist of a combination of tenured and untenured regular faculty members. Only tenured faculty members may serve on the Faculty-level Committee.
- h) The Committee:
  - i. Shall consist of, at a minimum, three faculty members. These members may or may not all be from the candidate's unit.
  - ii. Shall consist of one Chair who is elected by and from Committee members.
  - iii. Shall appoint one of its members to record the recommendation of the Committee and its reasons.
  - iv. Shall seek an elected appointment of one alternate member to act should a regular member be unavailable (but see resignations below).

#### *Designated group members*

All candidates shall be advised that if they identify as Aboriginal/Indigenous, African Nova Scotian/African descent, Acadian, dis/Abled, and/or minority sexual orientation/gender identity (SOGI) they may choose a member of that equity-seeking group with a Dalhousie academic appointment to sit on the Unit-level review committee (clauses 14.15(c), 15.20(i), 16.01(i)). To do so, they shall provide the name, academic position, and contact information

<sup>1</sup> Although the CA does not specifically require members to be elected for tenure Committees, members for promotion Committees must be elected (Clauses 16.01, 16.02). See Clauses 14.11 (a), (d) for appointments and reappointments, for tenure 15.26, 15.33 (b) and for promotion also 16.04.

to the Director when they begin discussions about tenure or promotion consideration, as early as May and no later than August 15.

The identified person is expected to be “arms’ length” from the candidate, which can be very challenging given the small numbers of eligible people with academic appointments at Dalhousie. Given the non-voting status of this person, committees have the latitude to interpret arm’s length generously. Candidates should make a case for why someone is appropriate.

#### *Length of Service*

The length of service for Committee members of a unit-level Reappointment, Tenure and Promotion Committee may be subject to annual election or may be staggered to one, two and three years’ service provided that there is provision for reasonable turnover of membership.

#### *Quorum*

No decision on reappointment, tenure or promotion shall be made unless there is a quorum of two-thirds (2/3) of Committee members (Clauses 14.11(d), 15.26, 16.01).

#### *Resignations*

When a Committee member resigns before file consideration has begun, the vacancy shall be filled by election. If the process has already begun, the vacancy shall remain until a recommendation has been made (Clauses 14.11 (d); 15.26; 16.01). All Committee members making decisions should have been present for deliberations.

#### Committee Procedures

##### *Purpose and Duties*

The Committee advises the Director of the School/College and makes recommendations on Reappointment, Tenure and Promotion applications after evaluating a candidate’s file, according to the CA and Faculty of Health Guidelines and Criteria.

##### *Accountability*

As a standing Committee of the School/College, the Unit-level Committee is responsible to make recommendations to the Director on individual applications for Reappointment, Tenure and Promotion and on matters of policy and procedures to be considered by the appropriate bodies. The Committee may choose to provide an annual report to the unit addressing processes, procedures and policies.

##### *Conflict of Interest*

Conflict of interest does not concern personalities but rather particular situations and relationships. No member “shall knowingly participate in any decision that directly and preferentially benefits them or any individual with whom they have an immediate familial, marital, sexual or financial relationship. In addition, no one shall participate in such a decision where their participation may lead to a reasonable apprehension of bias or where there is an appearance of a potential conflict of interest” (clause 14.27(d)). Conflicts of interest must be disclosed as soon as they arise. Committee Chairs should ask about potential conflicts for each

file under consideration. If there is uncertainty, potential conflicts shall be discussed with the Committee Chair of the Committee or with the Director.

- a) A faculty member who serves on another Reappointment, Tenure and Promotion Committee at any level shall neither participate in nor submit opinions, letters or other documentation to the proceedings. Members of review committees at any level should avoid providing letters of support for a colleague's file. Such letters may not, however, constitute bias unless the letter is written in consideration of all criteria and review of the file occurred prior to the letter's preparation.
- b) Any faculty member who is a candidate for reappointment, tenure or promotion shall be excluded from membership the review committee at all levels.
- c) No Committee member who has been involved in consideration of an application as at the Unit level shall participate in considerations at a later stage (Clause 36.04).
- d) If a candidate requests in writing, giving reasons, that a Committee member be removed during deliberations of their application, the Chair shall consider the request. If it is deemed reasonable, the Chair shall ask the Committee member to step aside during deliberations (Clause 36.02). Simply being from the same unit is not reasonable grounds, while close personal, business or financial relationships candidates are.
- e) Where the Director is in conflict of interest with a candidate, in the general there is no Director-level recommendation.
- f) If there is reason to believe that a conflict of interest has not been disclosed, it must be reported to the Committee Chair (if the Chair is involved, reported to the Director). Failure to disclose is subject to discipline. For more information, see the Senate Policy on Conflict of Interest ([https://www.dal.ca/dept/university\\_secretariat/policies.html#](https://www.dal.ca/dept/university_secretariat/policies.html#))

### *Meetings*

- a) The Director shall convene the first meeting of the Committee in each academic year and shall inform members on relevant policy and procedure. The Director shall ensure that the Committee elects a Chair during the first meeting.
- b) The Director shall provide Committee members with all relevant documentation that includes:
  - i. The current Collective Agreement;
  - ii. These Terms of Reference;
  - iii. The approved Faculty *Guidelines and Criteria for Reappointment, Tenure & Promotion*.
- c) The Chair shall convene all other meetings of the Committee.

### *Workload*

- a) It is recommended that the work of letter preparation and revision be shared among Committee members.
- b) Although they may be recorded in a single letter, assessments regarding tenure and promotion shall be addressed separately in the written recommendation.

### *Confidentiality*

According to the CA (Clause 17.04) all persons (not just Committee members) involved in “participation in a Committee dealing with such matters as appointment, reappointment, promotion, tenure” must respect confidentiality. The CA contains guidelines for the confidentiality of letters that are added to a candidate’s file (Clauses 18.11(b); 18.12(d)).

### *Deliberations*

1. All Committee deliberations shall be confidential.
2. All Committee deliberations shall be conducted independently from a Director’s, Faculty Committee’s and the Dean’s assessment (clauses 36.02 and 36.04.)
3. Deliberations on a file shall not proceed if the submission is incomplete. Applicants must sign the Faculty of Health File Outline Checklist indicating their file is complete.
4. All Committee members shall be present during deliberations. If absent during significant portions of the deliberations, a Committee member forfeits any voting rights and may forfeit rights to continue participating in the deliberations.
5. In deliberations, the representative of an equity-seeking group chosen by an applicant is non-voting but shall attend all deliberations on that file and shall advise the Committee on aspects relevant to the applicant’s heritage or identity. This member may include a separate report to be included in the file.
6. Directors and the Dean may aid the Committee **only** in matters of clarification on policies and procedures. The merits of individual applications shall not be discussed either with the Director or the Dean prior to formulating Committee recommendations.
7. The unit-level Chair may seek guidance *first* from the secretariat to the reappointment or tenure and promotion process from the Dean's Office and then, if necessary, from legal counsel in Faculty Relations.
8. The Committee is entitled to request from candidates, in writing or in person, information it deems necessary to clarify material included in the candidate’s file.
9. Article 18 of the CA contains provisions dealing with the contents of personal files, including the special file created for Reappointment, Tenure and Promotion consideration, and must be followed.
10. The Committee shall apply general criteria and procedures as outlined in the CA.
11. The Committee shall apply the Faculty of Health *Guidelines and Criteria for Reappointment, Tenure & Promotion*, providing that they do not conflict with the CA.
12. The rules of fairness and the rules against bias (Natural Justice) apply to all Committee proceedings and deliberations (Article 36) ensuring fair play is in action and proper procedures are followed. Judgements should be made only on relevant and legitimate

materials that before the Committee, and only on grounds specified by the CA and the Faculty Guidelines; like cases should be treated alike; all deliberations should be documented; relevant policies on non-discrimination should be consistently applied.

### *Recommendations*

1. **Before recommendations are made and the file is forwarded**, Committee members must assure that a candidate's file is complete and that the file also includes the Special File Inventory Sheet (see below).
2. Committee recommendations are independent of those made by Directors, Faculty-level Committees and the Dean.
3. The Chair shall send recommendations to the Director, giving reasons that support applicable criteria and standards. Recommendations should clearly address the criteria/standards required for tenure or promotion.
4. Before a letter of recommendation is forwarded to the Director, all Committee members must review the letter before the Chair signs on behalf of the Committee members, who should be named in the letter.
5. When forwarding recommendations to the Director, all data on which the recommendations are based must be included.
6. If there is disagreement among Committee members, dissenting members may attach a written dissent or such dissent may be included in the body of the letter.
7. When sending recommendations to the Director, the applicant should be sent a copy of the Committee's letter (Clause 14.15(a), 15.18(a), 16.04(a), 36.03).

### *Delays*

The Dalhousie Faculty Association and the Board of Governors through the Association-Board Committee must approve any delays or changes in the deadlines and times as specified in the CA for tenure and promotion. The reasons for such extensions must be demonstrated (Clauses 14.15(b), 15.34)). Any requests for extensions are submitted through the Dean.

### *Materials added after the deadline*

During any stage of the process, candidates have the right to inform the Director and the Committee, through additions to the file, about developments after the submission of the completed file, such as grants received, publications accepted, awards or other exceptional developments.

## ADMINISTRATIVE SUPPORT

### Election of Committee Members

1. Elections shall be held each spring.
2. Elections may be held at other times of the year only under special circumstances. E.g., a Committee member is unable to complete their term (clauses 14.11(d); 15.26; 16.01).
3. The administrator of the unit shall circulate the names of faculty eligible to serve on the unit-level Reappointment, Tenure and Promotion Committee to all members of the unit. Directors are not eligible to serve on the Unit-level Committee.
4. Once nominations have been received, the Unit administrator shall prepare a slate for election at the Unit-level faculty meeting.
5. If nominations are below the required number, the Director shall solicit nominations from the floor at the Unit-level faculty meeting.
6. If nominations exceed vacancies, elections shall be by secret ballot, administered by the Unit administrator and opened by a faculty member (not Director) during a meeting.
7. Newly elected Committee members shall begin their term on July 1 each year.

### Responsibilities and Rights of Candidates

1. A candidate has the right and the responsibility to submit documentation in support of their candidacy (Clauses 15.19(a); 16.01; 17.19; 18.01(b)). This should be in accordance with the Faculty of Health *Guidelines and Criteria for Reappointment, Tenure & Promotion*.
2. It is the responsibility of candidates to ensure that their contribution to the special file is complete at the time of submission.
3. If a candidate wishes to make a personal representation to the Committee, they are entitled to do so and this invitation shall be extended to the candidate (Clauses 15.20, 16.04(a), 36.03) prior to the Committee's final recommendation.
4. A candidate is entitled to receive timely and reasonable notice of any hearing the Committee undertakes regarding their file and is entitled to attend such hearings or any proceedings involving their file, except "proceedings or hearings or portions thereof which are solely and exclusively deliberations of the committee" (Clause 36.03).
5. If a candidate requests access to the special file that has been created for the sole purpose of their reappointment, tenure or promotion consideration, access shall be granted within two days of the request (Clause 18.01 (b)). It is the candidate's responsibility to request copies of letters of reference prior to the final recommendation of the Committee.
6. At the request of the candidate, a representative from the Dalhousie Faculty Association may examine edited and unedited letters from referees (clause 18.11(b)).
7. Depending on the type of appointment, a candidate for reappointment, tenure or promotion has the right to know at every stage of the process what is being recommended and to receive written reasons for the recommendation (clause 14.15(a), 15.18(a), 16.04(a)).

### Access to the Special file

Unit faculty and staff may view the file as submitted by the candidate. **It should not include** confidential student ratings of instruction, nor feedback received from staff, students, colleagues, external reviewers etc. solicited by the Unit-level Committee and/or Director, as that information is added to the special file only after the closing date for feedback.

## **SPECIAL FILES AND INVENTORY**

1. When candidates are considered for reappointment, tenure or promotion, a special file is created that contains materials submitted by the candidate, committees, Director, Dean, external reviewers, as well as anybody else who has the right to contribute to this file. The special file must contain an Inventory Sheet that describes the contents of the file and serves as a record of additions and deletions from the file (Clause 18.01(b)). A template of a special file inventory sheet can be obtained from the Dean's Office tenure and promotion administrator.
2. The Unit Director shall not contribute a personal letter of support to a candidate's file.
3. The Special File Inventory is an itemized list in sequential order of all materials that are contained in the file.
  - a. Items on the list are separated by headings that indicate the material submitted at each level. New material received at each level must be listed under the heading for that level to show it was added at that level and was not considered previously.
  - b. The date an item is added should be indicated, as well as the date of the document, if the two are different.
  - c. The Inventory is updated before it is delivered to the next stage in the proceedings. A statement (dated) should be inserted to confirm that the file contains the items listed at the conclusion of that stage.
  - d. All confidential materials must be handled as specified in Clauses 18.11, 18.12
    - i. Copy the original letter so that identifying letterhead and signature block are removed;
    - ii. Place at the top of the letter a statement that it is Confidential and, "The author of the attached letter has requested that their identity be concealed. As provided for under Clause 18.11(b) of the Collective Agreement, the identifying letterhead and signature block have therefore been removed from the attached copy."
    - iii. List the letter in the Inventory without revealing the author's identity.
    - iv. The original letter, showing the author's identity, shall be kept on file by the Dean's Office. The identity of the author is NOT to be revealed to the candidate under any circumstances.
    - v. At the candidate's request, a DFA representative is entitled to review the original letter but shall maintain confidentiality with regard to the author's identity (18.11(b)).
  - e. After all proceedings have been concluded, the Special File with all its contents, will be retained in the Dean's Office.

## EXTERNAL REFEREES FOR TENURE AND PROMOTION CONSIDERATION

Consideration for tenure and/or promotion requires assessment of the candidate's work by external referees (clauses 16.10, 16.11). 'External' refers to individuals outside of Dalhousie University who have demonstrated knowledge and expertise in the candidate's area of academic interest.

In the Faculty of Health, all external referees must be at the professorial rank aspired to by the candidate or higher rank. That is, promotion to full professor will demand all referees be at the rank of full professor.

Referees should also be 'arm's length' and able to provide objective assessment unbiased by their relationship with the candidate. The Conflict of Interest guidelines above apply; in addition, former professors, supervisors, and students would not be considered arm's length. In some fields it may be difficult to find external referees who have no connection with the candidate, but external referees should not include individuals who have collaborated closely and frequently with the candidate in the production of scholarly works and publications.

It is the responsibility of the candidate to disclose all connections with individuals being nominated as external referees. The final determination of the suitability of a nominated individual will be made by the Director in consultation with the Unit-level Committee.

### Processes – identifying referees

- 1.1 A candidate requests consideration for tenure and/or promotion, declaring their academic areas of interest and submitting a list of at least three referees expert in those areas to the Director, no later than August 15. Ideally names are provided earlier, to facilitate the process of soliciting letters of reference. This list will be reviewed by the Unit-level Committee and the Director; both will have the opportunity to comment on the suitability of potential referees.
- 1.2 The Director will also compile a list of at least three referees expert in the noted area of academic interest and submit this list to the candidate and the Unit-level Committee no later than August 25 for consideration and comment on the suitability of the potential referees. The candidate must respond to this list prior to file submission.
- 1.3 If a potential referee is rejected by the candidate, the Director or the Committee, another suitable referee shall be suggested.
- 1.4 For tenure, a final list of potential external referees will be identified by the Committee Chair in consultation with the Director. In all instances, at least half of the referees shall be from among those recommended by the candidate.
- 1.5 In the event of serious difference of opinion on the suitability of nominees, it will be the responsibility of the Committee to determine the final list.
- 1.6 The Director will communicate with each nominee in an expeditious manner to determine willingness to perform as a referee within stated time limits. (sample letters CA Appendix V)



- 1.7 In the letter inviting individuals to act as referees, all referees will be informed of their right to confidentiality regarding disclosure of information to the candidate.
- 1.8 If a nominee declines to contribute, the Director will select another suitable referee from the original approved list of referees. If the original approved list is exhausted, the Director will find another suitable referee using the same consultations used to compile the initial list.
- 1.9 For tenure, recommendations from at least two external referees are required. For promotion to Associate Professor, recommendations shall be obtained from at least two external referees (clause 16.10), and for promotion to Full Professor recommendations shall normally be obtained from four external referees (clause 16.11).

#### Processes – external reviews

- 2.1 All external referees will be provided with the Faculty tenure and promotion guidelines, a copy of the candidate's cover letter and curriculum vitae, and the samples of scholarly works submitted by the candidate.
- 2.2 All referees will be given a specific deadline for return of the letter of reference.
- 2.3 Referees submitting letters of recommendation will be asked to disclose all of their connections with the candidate in order to alert those who review referees' letters to any possible bias or conflict of interest.
- 2.4 External referees will be instructed to focus on the scholarly contributions in accordance with Faculty Guidelines. They will not normally comment on teaching and academic service, though may comment on contributions to the work of and development of professional associations.
- 2.5 Written responses will be added to the Special File by the Unit Administrator as they arrive.

## PROVISION OF THE OPPORTUNITY TO COMMENT

All faculty, staff and students in the candidate's academic unit will be given the opportunity to comment on a candidate's suitability for tenure and/or promotion.

In those cases where a faculty member's workload recognizes a relationship with an agency/organization external to the university, the agency will be given the opportunity to comment on the quality of work and contributions of that faculty member.

### Process

- 1.1 The Director of the Unit will inform all faculty, staff and students in writing about candidates who are seeking tenure and/or promotion and invite them to comment on the suitability of each candidate, emphasizing:
  - i. the need to restrict comments to Faculty criteria for tenure and promotion,
  - ii. the need to comment only on criteria of which they have direct knowledge,
  - iii. the deadline for submission of comments, and
  - iv. confidentiality provisions (clause 18.11).
- 1.2 The Director will correspond with the appropriate official in any relevant external agency/organization to ask for written comments on the work of the candidate as it relates to the agency/organization, emphasizing as in 5.1. Candidates should not solicit letters from agency/organizations on their own. Such letters should be solicited only by the Director.
- 1.3 Faculty and staff who wish to comment on candidate suitability will be given access to the candidate's file (clause 18.12) but will not be given access to the Special File created after all solicited and unsolicited letters are received.
- 1.4 All comments will be sent to the Unit Administrator in writing by the deadline noted.
- 1.5 in the Special File care should be taken to distinguish letters solicited by the candidate, by the Director, and unsolicited letters.

## TIMELINE<sup>2</sup>

Dates	Tenure	Promotion & Professor Emeritus	Reappointment
August 15 or earlier	Dean notifies those eligible for tenure	Dean notifies those eligible for promotion	
August 15	Candidates submit their list of external referees to the Director	Candidates submit their list of external referees to the Director	Director notifies those eligible for reappointment
August 25	Director provides lists of referees to candidates	Director provides lists of referees to candidates	
September 1			Instructor and PTT reappointment files due
First day after Labour Day	Tenure files are due in the Director's office		
September 15		Promotion files are due in Director's Office	
September 15		Director's Office confirms list of those submitting a file for promotion	
October 1			Unit Committee and Director's recommendations to the Dean
October 30	Unit Committee and Director's recommendations to the Dean		Dean's recommendation to President and Candidate October 1-30
October 31 (Clause 14.15(a))			The President advises candidates of her or his decision
November 30	Faculty T&P Committee recommendation to the Dean	Unit Committee and Director's recommendations to the Dean's Office.	
November 30			
December 31 (and in no case later than January 15)	Dean makes recommendations to President		Dean will advise candidates & the President of recommendations on re-appointment.
February 15		The Faculty-level T&P Committee makes recommendations to the Dean	President's recommendation to candidates
February 28 (and in no case later than March 15 <sup>th</sup> )	The President advises candidates of her or his decision		
March 31		Dean makes recommendations to the President	
April 30 Clause 14.15(a))		The President advises candidates	
May 31		The President advises candidates	

<sup>2</sup> Unit-specific dates may vary from the dates indicated here.  
Faculty of Health

*Revision History:*

- *Approved by Faculty Council January 15, 2004*
- *Amended and Approved by Faculty Council November 18, 2004*
- *Clarification of the Special File-note (see page 19) added by Dean's Office December 2007*
- *Reorganization of layout Approved by Faculty Council June 22, 2017*
- *Formatting/Name Changes, March 2018*
- *Revisions Approved by Faculty Council March 26, 2020*