Prepn of Dossier for
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Preparation of Dossier for Duke-NUS Regular Rank Faculty Appointment / Promotion for Submission to Duke-NUS APT Committee

Note:

● For tenured Associate Professor and tenured Professor appointments / promotions, please refer to document "Summary Guidelines For Preparation of Duke-NUS Faculty Dossiers For Review by University Promotion and Tenure Committee (UPTC)".

● For appointment of faculty under Track IIC – Practice Track, please refer to document "Preparation of Dossier for Duke-NUS Regular Rank Practice Track Faculty Appointment / Promotion for Submission to Duke-NUS AP Committee".

For a Duke-NUS regular rank faculty appointment / promotion, the candidate's dossier for submission to the Duke-NUS Appointments, Promotion and Tenure (APT) Committee will need to include (in chronological order) the following:

APT Cover Letter (from Signature Research Programme (SRP) / Academic Clinical Programme (ACP) Director / Office of Education Head of Office (HOO)) summarising SRP / ACP / Office of Education Nomination and Appointment Committee's (NAC's) discussion and recommendations – including the vote cast by the Committee members - on the candidate's appointment / promotion. The APT Cover Letter is required for all Regular Rank faculty appointments / promotions, regardless of the proposed faculty academic rank. Please refer to "Template – APT Cover Letter For Regular Rank Faculty Appointment / Promotion"

Academic Council (AC) Cover Letter (from AC Chair) summarising AC's discussion and recommendations on candidate's appointment / promotion. The AC Cover Letter is required for Associate Professor and Full Professor level appointment / promotion in addition to the APT Cover Letter, for:
(a) Clinicians whose faculty appointments reside in ACP, regardless of whether Duke-NUS is their primary employer (e.g. primary employer could be SingHealth, Duke-NUS or other external institution).
(b) Clinicians whose faculty appointments reside in SRP / Office of Education and whose primary employer is SingHealth.
(c) PhD Research Investigators whose faculty appointments reside in ACP / Office of Education and whose primary employer is SingHealth.

For candidates who are being put up to the APT Committee for Regular Rank faculty promotion or tenure review, the cover letter from the AC Chair and / or SRP / ACP Director / Office of Education HOO should clearly stipulate the following:
(i) The current Duke-NUS faculty appointment academic rank that the candidate is holding and the date that he / she was appointed at or promoted to this current academic rank.
(ii) New / additional / expanded / major contributions and achievements made by the candidate from his / her last appointment / promotion till to-date that will warrant the proposed promotion or award of tenure.

For candidates who are being put up to the APT Committee for Regular Rank Tenure-Track faculty appointment review, please refer to "*Table 1: Tenure-Track Appointment, Promotion and Tenure Criteria*" for the standards for appointment, promotion and tenure for the different academic ranks, as well as the evidential material to be provided for evaluation. It should be noted that these lists of evidence are meant to be indicative. They

are neither exhaustive, nor meant to be precise checklists of achievements that a candidate must fulfill in order to be appointed, promoted and/or tenured. The assessment of quality and impact is holistic and requires careful judgement.

For candidates who are being put up to the APT Committee for appointments or promotions under the Regular Rank Track IIB-Education Non-Tenure Track review, please refer to *"Table 2: Regular Rank Track IIB- Education Non-Tenure Track Appointment / Promotion Criteria"* for the appointment / promotion criteria.

1. **Candidate's CV**
   For new faculty appointments, use *"Template – Duke-NUS / SingHealth CV"* for CV submission.

   For promotion and tenure review of existing faculty members, CVs submitted must be in the Faculty Profile System (FPS) generated CV format. The online FPS can be accessed through: https://inetapps.duke-nus.edu.sg/fps/home/#/

   For appointment / promotion of Full Professor on tenure-track or non-tenure track, CVs of candidates should include the following publication information:
   (i) H-index
   (ii) Journal Impact Factor of every journal that the candidate had published in for the last 5 years (and further back if the candidate wishes)
   (iii) [optional] Number of citations for every publication that the candidate had published

2. **Candidate's Intellectual Development Statement [No specific template]**
   Generally around 4 - 6 pages:
   (i) 1 – 2 pages of past research and / or academic accomplishments
   (ii) 2 pages on future research and / or academic plans
   (iii) 1 – 2 pages on academic experience and philosophy (e.g. teaching, training of graduate students and / or fellows, etc)

   Below are **examples** of considerations that can guide the candidate to make a case for research impact and leadership in his / her intellectual development statement:

   - Research productivity, activities, and accomplishments - besides describing your body of work, clearly demarcate which parts of your scholarly outputs and achievements are attributable to work conducted after your last appointment, promotion, and/or tenure
   - Research impact in academia (e.g., citations), industry (e.g., patents and licensing of technology, competitive start-up funding, entrepreneurship), society, public policy, economy, environment, culture or other impact domains as appropriate
   - International research leadership in the field including but not restricted to awards, invited talks, keynotes, editorial board membership, conference program committees
   - Research independence from the Masters, PhD, post-doctoral thesis advisors and/or regular senior co-authors. Please provide a list of their names. Note: independence in developing a core body of work is ideally demonstrated through convergence of multiple indicators in the form of authorship, grantsmanship, graduate supervision, etc. The overall intent is to demonstrate primary ownership spanning origin of the creative ideas to bringing resources (grants, students, equipment, etc.) and intellectual leadership to realize these ideas in a concrete way to achieve quality outcomes (e.g., papers in top journals). The entire body of work may consist of this core and a collaborative body of work. Evidence of collaboration that expands the reach and impact of this core body of work is an advantage.

- Holistic and relevant comparison with relevant peers of comparable standing in leading research universities that is aligned to measures of excellence broadly accepted in a discipline.
- Provide a citation analysis to demonstrate research impact
- Sustained upward research trajectory with significant progression from previous appointment, promotion, tenure
- Future plans: plans and evidences for continuing development and expected significant contributions in the future.
- others

Below are **examples** of considerations that can guide the candidate to make a case for teaching impact and leadership with a focus on:

a) *self*: evidence of a range of educational activities and accomplishments made as a result of continuing development as a teacher after your last appointment or promotion

b) *others*: evidence of accomplishments beyond the classroom, i.e., educational leadership (e.g., curriculum review, mentorship, awards, keynote invitations, key membership of high level education committees)

c) *scholarship*: educational scholarship independent from or in collaboration with senior co-authors (e.g., education-related articles and/or presentations, textbook, innovative pedagogy and/or educational material, conference program committees, funded education projects)

d) *future plans*: plans for continuing development, with significant progression from previous appointment or promotion and expected significant contributions in the future

3. **Candidate's Education Portfolio**
   Candidates who are being proposed for Associate Professor and Professor appointments / promotions on Track IIB (Education – Non-Tenure Track) are **required** to include an Education Portfolio in their dossier submission for APT Committee's review and evaluation. Please refer to the *"Education Portfolio Template"*

   Education Portfolio is not required for Instructor and Assistant Professor appointments / promotions on Track IIB (Education – Non-Tenure Track).

4. **Reference Letters on Candidate**

   The number of reference letters on the candidate will depend on the proposed academic track and rank, as well as the tenure type to be surfaced to the APT Committee. Please refer to "*Reference Letter Requirement Criteria for Duke-NUS (A) Faculty and (B) Senior /Principal Research Scientist Appointments*"

   It is important to indicate in the request for reference letter and in the reference letter the academic rank and tenure type (e.g. tenure-track or non-tenure track) that the SRP / ACP / Office of Education would like to appoint / promote the candidate to. Reference letters should be obtained from referees who are of the same academic rank or higher than that for which the candidate is being considered. Please refer to "*Template – Letter to Referee Requesting For Reference Letter*"

5. **Bibliometrics**
   Bibliometrics of candidate whose dossier will be surfaced to the APT Committee for review will have to be included into the candidate's dossier.

   Please refer to "*Template – Bibliometrics for Faculty Appointment or Promotion Review*"

6. **Other Important Points to Note on Regular Rank Faculty Appointments**

   (i) Duke-NUS Regular Rank faculty appointments (i.e. Assistant Professor / Associate Professor / Professor) should reside in either a Programme (i.e. ACP / SRP) or Office of Education.

   (ii) If the SingHealth Duke-NUS Global Health Institute (SDGHI) / Centre wishes to propose a candidate for a Regular Rank faculty appointment whereby the primary appointment is to reside in the SDGHI / Centre, prior approval is to be sought from the Dean by the entity that is proposing the appointment.

   (iii) For candidates who are already holding an Adjunct / Clinical faculty appointment and are being put up to the Duke-NUS APT Committee for simultaneous (i) conversion to a Regular Rank faculty appointment **AND** (ii) promotion to a higher academic rank than that of his / her current Adjunct / Clinical appointment, the conversion and promotion processes should be carried out sequentially, instead of concurrently. That is, the candidate should first convert his Adjunct / Clinical appointment to a Regular Rank appointment at the same academic rank as that of his / her Adjunct / Clinical appointment, before being put up for a Regular Rank promotion to a higher academic rank.

Table 1: Tenure-Track - Appointment, Promotion and Tenure Criteria

Faculty Academic Rank	Criterion	Standard	Evidence includes but is not limited to:
Assistant Professor	**Education**	Demonstrated potential to achieve excellence in education or research.	• Expertise in area(s) of specialisation • Competency in teaching as evidenced by feedback from students and course supervisors, if available • Awards for teaching • Contributions to development of course material and pedagogy
	Research		• Indications of independence as a researcher • Potential to achieve excellence as evidenced by the quality and quantity of publications, and the quality of the dissertation • Awards for research
	Service		• Service contributions where available.
Associate Professor	**Education**	A peak of excellence in either education or research, with demonstrated quality in the other, and indications of sustainability over the long term. Consistent record of service with evidence of leadership would lend weight in the assessment for a lateral appointment to Associate Professorship. For Assistant Professors seeking promotion to Associate Professor, service contributions requiring major time commitment are not expected.	• Peer review reports • Student feedback • Student supervision as evidenced by the quantity and quality of graduate student supervision • Leadership in/contributions to curriculum development and pedagogy • Other performance indicators related to education such as teaching awards, curriculum innovations etc.
	Research		• Research focus as evidenced by body of work established • Research quality and productivity • Research impact • Research independence and leadership

			• International recognition of research contributions • Where applicable, creative professional activity and practice-led research • Other performance indicators related to research such as awards, research funding etc.
	Service		• Service to NUS (Department/Faculty level) • Professional or other service beyond the University, nationally or internationally • Significance and impact of service contributions
Professor	**Education**	Sustained high level performance with peaks of excellence in either education or research, and very good quality in the other. Excellence in service would lend weight in the assessment.	• Peer review reports • Student feedback • Student supervision as evidenced by indicators such as placements of graduate students, awards/prizes won by students mentored, list of publications with students as first or single authors etc. • Leadership in/contributions to curriculum development and pedagogy • Other performance indicators related to education such as teaching awards, curriculum innovations etc.

	Research		• Research focus as evidenced by body of work established • Research quality and productivity • Research impact • Research independence and leadership • International visibility as evidenced by e.g. invitations to give keynote addresses • Where applicable, creative professional activity and practice-led research • Other performance indicators related to research such as awards, research funding, etc
	Service		• Service to NUS (Department/Faculty/University level) • Professional or other service beyond the University, nationally or internationally • Significance and impact of service contributions

Table 2: Regular Rank Track IIB- Education Non-Tenure Track Appointment / Promotion Criteria

The appointment and promotion criteria for the Educator Track shall include, but are not limited to, the following:

Level	Qualification and experience	Impact domains	Criteria	Possible sources of evidence

Associate Professor	PhD or equivalent; substantial teaching experience and evidence of strong impact in higher education settings required	In addition to evidence of suitable **expertise in the discipline** and a strong contribution to **student learning**, evidence of positive impact in **one or more** of the following domains is **required**:
		- **Local and/or inter/national education environment**: formal or informal **leadership** that goes beyond own teaching and department, increasingly extending into the faculty/school
		- Research: pedagogical knowledge **integrated** into knowledge of the discipline
		- Research: knowledge of the **discipline**
			The following is a list of **criteria** relating to impact, some or all of which the candidate may be expected to meet:
			- An increasingly **evidence-based approach** to and reflection on **teaching and student learning**
			- **Skillful approach** that leads to deep, holistic, and self-directed **student learning** in and also beyond own course
			- Knowledge and experience of a range of **pedagogical approaches**
			- Appropriate level of **scholarliness**, in the case of contributions to disciplinary and/or integrated pedagogical/disciplinary domains through teaching and research
			- Inspirational to and supportive of **peers** within and/or beyond the institution;
				The candidate should provide **sufficient evidence** to demonstrate that he or she meets relevant criteria in the previous column. Non-exhaustive examples of such evidence, which need to be presented in a teaching portfolio, may include:
				1. **Self-assessment**
				  - Reflection on educational approach / teaching philosophy and how it supports student learning in the context of the discipline and institution
				  - Reflection on development of educational approach over time
				  - Reflection on how educational approach has had a positive impact on the local academic environment to help improve excellent practice
				1a. **Where the candidate wishes to focus more on educational leadership** than research contributions, reflection on educational approach / teaching practice informed by teaching philosophy, and how it has resulted in formal or informal educational leadership that has had a beneficial influence on creating a supportive environment that advances student learning in the course, department and faculty/school
				or:
				
				1b. **Where the candidate wishes to focus more on research** than educational leadership contributions, reflection on educational approach / teaching practice informed by teaching philosophy and how evidence-based approaches used have contributed to not only student learning, but pedagogical knowledge integrated into knowledge of the discipline, and/or how their research in the discipline relates or does not relate to their teaching
				
				For evidence relating to **professional activities**, focus on either 2a or 2b (depending on whether the self-assessment focuses on 1a or 1b).

				fosters development of active communities of practice within and/or beyond the institution - Has a sustained and positive impact on **student learning** by playing a leading role in educational **innovation/ reform/ support** - Leads development/ management/review of faculty/institutional teaching and learning **strategies** - Contributes to and strengthens institutional/national **dialogues** on teaching and learning	2a. **Professional activities** relating to **educational leadership on the faculty/school and university level, where the candidate wishes to focus more on leadership** rather than research contributions) For example: - Information on courses taught and supervision - Sample course materials - Leading role in mentoring of colleagues - Leading role in external examining or training - Leadership of teaching and learning activities by professional organisation - Leadership of curriculum and institutional-level educational development - Leadership of quality assurance / accreditation processes - Leadership of teaching and learning courses - Leadership of teaching and learning activities by professional organisation **or:** 2b. **Professional activities** relating to **educational/disciplinary scholarship on a national/international level, where the candidate wishes to focus more on research** (rather than leadership contributions) For example: - Invitations to speak at teaching and learning / disciplinary events - Active member of teaching and learning / disciplinary research group - Visiting positions at outside institutions 3. **Peer recognition** For example: - Official NUS peer review of teaching - Peer review of teaching portfolio - Institutional/national teaching awards/fellowships - Refereed international publications - Authorship of widely used textbooks - Letters of reference from colleagues mentored - Research grants - Reference letters from senior university managers - Reports from research and other collaborators; if relevant, list details of individuals to be contacted - External impact reports or case studies

				4. **Indirect measures** of student learning (i.e., based on perception) For example: - Official NUS student feedback - Student surveys - Student achievements that can be linked to the specific course or programme - Alumni assessment and feedback - Assessments by employers linked to specific courses - Self-reported learning gains - Student achievement rates as reflected by course results 5. **Direct measures** of student learning (i.e., based on learning gain; *if available*) For example: - Pre-/post tests - Standardised tests - Assessment results benchmarked against other cohorts - Assessment of student work: learning journals, e-portfolios