

Administrator's Guide for Academic Promotion and/or Tenure



For Department Chairs and Administrators
For Members of the Bargaining Unit of
The University of Western Ontario Faculty Association

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Dean's Office, Western Engineering

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The Process		
When	Who	Action
November - January	Department / Dean's Office	<ul style="list-style-type: none"> <input type="checkbox"/> The Dean's Office will identify or notify the Department Chair and all Probationary Members (either Assistant or Associate) in their final year (probationary period ends June 30 of the following year). <input type="checkbox"/> The Department Chair should consult with the Dean to identify Probationary Members who have an exceptional record to invite to be considered for promotion and granting of tenure during the P&T cycle within the fourth year of their probationary period. <input type="checkbox"/> After discussion with the Dean, the Chair should contact: <ul style="list-style-type: none"> ○ Probationary Assistant Professor (Clause 15.1) or Probationary Associate Professor (15.2) who must be considered in this cycle and have the Member begin to compile the information required for the dossier (as per P&T Clause 6.4). <ul style="list-style-type: none"> ▪ <u>Note:</u> For any Member on a Probationary Appointment, the Dean may, if member consents, initiate consideration for Tenure and Promotion, where applicable in any year of the appointment before last year (15.3) <input type="checkbox"/> For those members whose probationary period expires the following June 30 it is recommended to begin the public solicitation while the member is teaching.
February	Dean's Office	<ul style="list-style-type: none"> <input type="checkbox"/> Dean's Office will review the P&T Committee Memberships and advise the Departments by email where new members are required (to be elected by the Department) and identify to Faculty Nominating Committee the positions requiring Faculty Council's vote (at June Faculty Council). <input type="checkbox"/> To facilitate the above, the Departments are to provide names of those Departmental members on their Committees and should assist Faculty Nominating Committee by soliciting members from outside faculty to be forwarded to the Dean's Office.
March	Dean's Office / Department /	<ul style="list-style-type: none"> <input type="checkbox"/> Dean meets with each Department Chair to discuss who to invite for Promotion. As such, by <u>end of March</u>, the Dean shall review the Promotion and/or Tenure File of each Member in the Faculty who is not at the rank of Professor and who is not obliged to be considered for Tenure in the coming Academic Year. The purpose of this review is to determine whether a Member should be invited to undergo consideration for Promotion and/or Tenure in the coming Academic year. Where applicable, the Dean shall consult with the Member's Chair, and otherwise with the members of the Promotion and Tenure Committee elected from the Member's Faculty(ies). (Clause 15)

	<p>Faculty Member</p> <p>Dean's Office</p> <p>Department</p> <p>Faculty Member</p> <p>Department</p>	<ul style="list-style-type: none"> <input type="checkbox"/> A probationary Member who wishes to be considered in the fourth year of their Appointment shall make a request in writing by the <u>end of March</u> of the third year of the Appointment (Clause 15.4). <input type="checkbox"/> A Limited Term Member at Assistant rank may request early consideration for Promotion in writing by <u>the end of March</u> of the year before consideration. (Clause 15.4.2). <input type="checkbox"/> A Member who is a Tenured Associate Professor may request consideration for Promotion to Professor in writing by the <u>end of March</u> in the year of consideration. (Clause 15.6) <input type="checkbox"/> The Dean will send a formal memo to only the Faculty Members to who he is inviting. <ul style="list-style-type: none"> <input type="checkbox"/> The Member should be advised he/she has two weeks to indicate, in writing to the Dean, c/o the Chair, his/her desire to be considered once they have received the Dean's invitation to come forward. <input type="checkbox"/> If the Member is considering going forward he/she should begin the process of compiling the information for the dossier. <input type="checkbox"/> Additionally, on behalf of the Dean, the Chair contacts all Probationary Members at the rank of Assistant and Associate and all Tenured Members at the rank of Associate, to request an up-to-date CV which must be provided to the Chair, for the Members' official files, no later than March 1. The faculty Member has the option to submit a March 1 version of their CV or submit their previously submitted CV from November in their Annual Performance Evaluation. The CV must be complete. A template form is attached to the Candidate's guide. <input type="checkbox"/> Departments post public solicitation (on Department and Dean's Office Bulletins with an August 15th closing date). Copy to go in dossier <input type="checkbox"/> Departments email current students (in classes taught by member) and the list provided by Member with their former students to gather comments on performance in teaching. Copy of emails and distribution list to go in dossier <input type="checkbox"/> Faculty and staff (peer) recommendation requests are sent via email by the Department Chair directly. All letters and/or emails received from peers or students may be returned directly to the Department Chair(s)* *Joint Appointees. <ul style="list-style-type: none"> <input type="checkbox"/> <u>Note</u>: At minimum an email with information on the public solicitation should be emailed to entire department (faculty, staff, undergraduate and graduate students, other Department Chairs).
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June		<ul style="list-style-type: none"> • Organization of the dossier will happen throughout but do not forget to include the following: <ul style="list-style-type: none"> <input type="checkbox"/> Edit the sample Index of Contents / Signature Page as necessary. <input type="checkbox"/> Add the Letter of Appointment, under the terms of the CA, provided to the Member. A sanitized version is required which consists of removing salary, start up grant and any moving expense information <input type="checkbox"/> Add the report of each annual interview with the Dean, along with the Member's response to the reports, if any (if applicable). <input type="checkbox"/> Add any documentation concerning arrangements made under the provisions of this Collective Agreement that alters the balance between the Member's duties in the areas of Teaching, Research and Service, (e.g. Alternative Workload, cross appointments, etc.) • Copies of external referee letters (and/or emails) are put in P&T dossier along with response from external referees (whether a response letter or a decline in writing a letter).
July / August	Dean's Office / Departments	<ul style="list-style-type: none"> <input type="checkbox"/> Dean's Office will hold times in Dean's calendar for P&T meetings (scheduled for mid-to-late September) for each member going forward). P&T cases are prioritized and then promotion only cases. <input type="checkbox"/> Department to contact their P&T Committee to confirm meeting dates with committee members. Quorum consists of the Committee chair and four of the seven voting members, including the Chair/Director of a Department or School, if applicable (Clause 14.2). <input type="checkbox"/> Departments are to check if there are any conflicts of interests. Members who feel they may be in conflict need to write to the Dean. <input type="checkbox"/> Departments are to submit original binders for review by Dean's office prior to member signing off (on sanitized version). <input type="checkbox"/> Department submits to the Dean's Office the OWL Confidentiality and Conflict of Interest forms for all P&T Committee members (where applicable) to have access to the candidates dossier. This is to be done at least one month prior to the meeting.

September	Dean's Office / Department	<ul style="list-style-type: none"> <input type="checkbox"/> The Department arranges for the candidate to review a sanitized copy of the original dossier and sign the Signature Page acknowledging that the file is complete. The Dean, also signs the Signature Page. <ul style="list-style-type: none"> ○ The SANITIZED copy should include the lists of external referees, peers and students who were solicited but should not indicate who responded in any way. The letters and reports must be edited to delete names, addresses, letterhead, and references within the text which might identify the individual. <input type="checkbox"/> Departments to forward one hard copy of signed P&T dossier to the Dean and upload an electronic version on OWL a minimum of 1 week before meeting for P&T committee to review. <input type="checkbox"/> Departmental Promotion & Tenure Committee reviews the dossier and make recommendations. The Director of Administration attends all meetings as a resource to the Committee and Dean. <ul style="list-style-type: none"> ○ In the past, the Procedures and Previous Decisions of the Senate Committee on Appeals made a ruling which provided that when a Member of the Promotion and Tenure Committee missed a file review meeting, they were excluded from participating in any future deliberations and denied voting rights related to that file. The Association and Administration agreed that under the Collective Agreement process, if someone missed a meeting they would still be allowed to deliberate and vote on the file in question. In short, and in the future, there would be no exclusion or denial of voting rights of Members who miss meetings during a committee's deliberations. Given this position, you are encouraged to stress to Committee Members at their first meeting the importance of regular attendance at these meetings, even if this means rescheduling other commitments.
October	Dean's Office / Department	<ul style="list-style-type: none"> <input type="checkbox"/> A recommendation letter from the Committee is to be received by the Dean's Office within 2 weeks of the last meeting. The Department Administrator Officers (AO's) is to ensure that all P&T Committee members have signed off on the letter. The Dean's Office will ensure this is placed in the dossier. <input type="checkbox"/> To show each member of the Committee has been provided with the opportunity to sign the recommendation (Clause 17.2), list each Committee member's name at the end of the recommendation and provide a space for his/her signature. If the member was absent for the vote or declared a conflict, include a notation to that effect on the signature line. If the member was present for the vote but away at the time of signing the letter, an e-mail from the member indicating his/her acknowledgement that the electronic copy of the recommendation is an accurate rendering of the Committee's decision may be added to the File. <input type="checkbox"/> A recommendation letter from the Dean is created to accompany the letter from the Committee and placed in the dossier.

		<input type="checkbox"/> The Dean's Office will provide a sanitized copy of both the Committee and Dean's recommendation letters to the Member and the Chair (Joint Chair/Dean if applicable). <input type="checkbox"/> The Dean's Summary Submission Form is created and placed it at the front of the dossier before the Index of Contents by the Dean's Office.
November	Dean's Office / Department	<input type="checkbox"/> Dean's Office will forward dossiers to Provost for final decision. Files going forward for Tenure are due by November 1 while those going forward for Promotion only are due by November 15. <input type="checkbox"/> The Provost shall either approve or deny the recommendations from the Committee and the Dean and shall notify the Member. The Provost may request additional information, a consult with the Dean or return the file to the Committee if he deems it to be appropriate (18.2). Following approval by the Provost, promotion and/or change of status becomes effective on July 1st. <input type="checkbox"/> Process for next P&T cycle to start – see beginning of process.

Helpful Tips/Deadlines

Once identified to be considered for promotion and/or tenure, the Dean's Office will provide the *Candidate's Guide* to each candidate. Be sure to inform candidates of the deadline(s) for return of this information. Below are the required deadlines. Submission of this material prior to these deadlines is acceptable. Each department may change all deadlines except the deadline for the CV.

- CV – (March 31)
- Teaching Dossier – (March 31)
- Notice of Intent to go forward for Promotion and revised CV – (March 31)
- List of Potential External Referees – (April 30)
- List and copies of Publications – (April 30)
- List of Colleagues/Peers and Students to be Solicited – (April 30)
- Candidate's Statement and/or Research Statement) – (April 30)
- Any additional written Material relevant to Case - (August 31)

As candidates return information, the Chair and Departmental Administrative Officer should check to ensure that it is complete, accurate and up-to-date. It is recommended that the Administrative Officer collect the information in a three ring binder. Information should be set up in standard sections (through the use of dividers) within the binder, following the order of the sample 'Index of Contents'. See *Appendix A*.

Late Submissions (P&T Article, Clause 6.4.1.1)

Letters may be added to the dossier right up to the time that the candidate reviews and signs off on the dossier. Any solicited external letters received after the dossier has been signed by the Candidate but before the P&T Committee has met, shall be added to the dossier. In this circumstance, the Member must be given the opportunity to examine the copy of the letter at least 72 hours before the P&T committee meets. The member may, according to the provisions of Clause 6.4e of the Promotion & Tenure, add this letter to the dossier.

Appendix A: Summary of Documentation Required (Tabs in Dossier)

<i>Item of Documentation (BOLD words are to be the Tab title)</i>	<i>Status in Dossier</i>
Index of Contents	Required
Signature Page	Required
Dean's Summary Submission	Required
Recommendations: <ul style="list-style-type: none"> • Dean's Recommendation and Report • Departmental Promotion & Tenure Committee's Recommendation and Report 	 Required Required
Additional Information – if applicable <ul style="list-style-type: none"> • Documents received from candidate • Request for additional Information letter 	Required
Consultation – if applicable <ul style="list-style-type: none"> • Documents received from candidate • Request for consultation 	Required
Annual Meetings (if applicable) <ul style="list-style-type: none"> • Dean's letter from each year of probationary period • Responses from Member (if applicable) 	Required
Letters of Appointment <ul style="list-style-type: none"> • Including Cross / Affiliate appointment letters 	Required
Arrangements under the Collective Agreement (i.e. AWA, LOA, etc.) - if applicable	Required
Candidate's Statement / Research Statement	Recommended
Curriculum Vitae <ul style="list-style-type: none"> • Updated CV (if applicable) • March 1 	 Required Required
Teaching Dossier <ul style="list-style-type: none"> • Evaluation of Teaching: Undergraduate • Evaluation of Teaching: Graduate & Postgraduate • Evaluation of Teaching: by Peers • Teaching Evaluation Summary (prepared by Dean's Office) 	 Required Required Required Recommended
Public Solicitation (Notice)	Required
External Referee Letters <ul style="list-style-type: none"> • Referee Letters • List of External Referees, Referee responses to requests • Template list of Publications 	Required
Student Letters <ul style="list-style-type: none"> • Letters • List of Students + emails 	Required
Peer Letters (Staff/Faculty) <ul style="list-style-type: none"> • Letters • List of Peers + emails 	Required
Publications (including the top 10 best publications)	Required

Appendix B: Tips on Dossier Preparation

When preparing the dossier for submission, please ensure the documents are placed in the following order in a binder large enough to accommodate the complete package:

1. **Index of Contents** - Ensure all sections of the dossier are indexed in the proper order and identified with individual tabs
2. **Signature Page** - Must be signed by candidate and Dean (using sanitized version of the dossier) after the file is complete but before the P&T Committee Reviews
3. **Dean's Summary Submission Form** - Must be completed by the Department Administrator
4. **Recommendations** of Dean and Departmental Committee
5. **Additional Information** – Letter requesting additional information from faculty member and any materials provided. (Information under this tab to be added by the Director of Administration.)
6. **Consultation** – Letter requesting Consultation meeting with faculty member and any materials provided. (Information under this tab to be added by the Director of Administration.)
7. **Annual meetings** – Responses from member. Only required for those in Probationary appointments and NOT for faculty member's going forward for Full Professor.
8. **Letter of Appointment** – Please sanitize salary , start-up funds and moving expenses
9. **Arrangements** under Collective Agreement (if applicable) - Maternity/Paternity Leaves, Leave of Absences, Alternative Workload or Reduced Workload arrangements (all)
10. **CV**
 - a. Updated (advise using a covering memo describing what has changed)
 - b. March 1st (original CV)
11. **Candidate's Statement** / Research Statement (if applicable)
12. **Teaching Dossier**
13. **Public Solicitation**
14. **External Referee Letters** – Include a list of all potential external referees including academic rank and a brief biographical sketch outlining qualifications and a copy of the letter and guidelines used for solicitation. The list must include who was asked to be a referee and who responded with a letter. The information about who responded must be sanitized in the dossier for the candidate.
15. **Student Letters** – Include a master list of available students, and identify those who responded, as well as a sample copy of email(s) used for solicitation
16. **Peer Letters** – Include a master list of available peers (staff/faculty) and identify those who responded, as well as a sample copy of email(s) used for solicitation
17. **Publications** for critical review – May be sent out electronically via USB key, if the reviewer so prefers. The covering page listing the titles and author contribution must be included.

Additional Notes:

- Please avoid using plastic sleeves in the P&T File where possible.
- If an external referee submits an evaluation by e-mail, please follow-up with a hard copy in the File.
- Electronic forms of the File may be made available provided that such Files are secure, and accessible only to the Committee members. In all cases, at least one hard copy of the File must be maintained.

Appendix C: Template Wording on External Referee Letters

Sample Summary of Biographical Sketch of External Referees

Professor _____, is a world expert in the field of bioinorganic chemistry. He is editor of the highly regarded Organic Biochemistry and, at present is the Chief, Laboratory of Cellular and Molecular Biology, at the National Institute of Aging, NIH. His earlier positions included professorships at the University of Louisiana and Georgetown University.

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The letters sent to the external referees must be signed by the Dean, however, the letters should be returned to the Department Chair or the Department Administrator. The Department is responsible for posting the public solicitation notice for comments on the candidate.

For all student, peer, external, as well as the public solicitation and recommendation letters, the following wording should be used:

| <b>Current Appointment Status</b> | <b>Current rank</b> | <b>Appropriate Statement</b>                                       |
|-----------------------------------|---------------------|--------------------------------------------------------------------|
| * Probationary UWOF A Member      | Assistant Professor | ...promotion to Associate Professor and the granting of tenure.... |
| * Probationary UWOF A Member      | Associate Professor | .... the granting of tenure.....                                   |
| * Tenured UWOF A Member           | Associate Professor | .... promotion to Full Professor.....                              |
|                                   |                     |                                                                    |
| * Limited Term UWOF A Member      | Assistant Professor | .... promotion to Associate Professor...                           |
| * Limited Term UWOF A Member      | Associate Professor | .... promotion to Full Professor....                               |

## Appendix D: Excerpts from the Office of Faculty Relations Guide

### **File Management:**

- Clause 6.4 requires the addition of all items for the Promotion and/or Tenure File be completed at least one week prior to the first meeting of the Promotion and/or Tenure meeting.
- Once the Table of Contents has been signed by the Member, no further documentation may be added to the File unless: (1) there is mutual agreement between the Member and the Dean; or (2) a late external referee letter is received in which case the Member has at least 72 hours before the Committee meets to add any relevant written submissions to the File (Clauses 6.4,1 and 6.4.1.1).
- Any addenda to the File (e.g., last minute update to a CV) must be dated.
- Please refer to Clause 14.2.1 for the requirement to include stenographic or other notes. These notes MUST be sanitized when reviewed by the candidate.
- Faculties may wish to consider a list of referees with their biographical sketches as suggested on page Appendix C. While the candidate's signature is not required under any policy or the Faculty Collective Agreement, you may wish to suggest this to Departments/Schools as an optional best practice.
- The call for public solicitation shall indicate the purpose of the solicitation is to provide information about whether the candidate's performance of Academic Responsibilities meets the relevant criteria in Clauses 3 through 4.3.2 of the *Promotion and Tenure* article. (Clause 6.4 c)
- If the Dean adds names to the referee list, the Dean shall provide a description of the qualifications of each referee suggested (Clause 6.4. d) ii).
- The Dean shall also provide to the referees the criteria for Promotion and Tenure as they are set out in Clauses 3 through 4.3.2 of the Article. (Clause 6.4. d) v)

### **P&T Committee Membership:**

- It is highly recommended that there be 3 opportunities for members (and potential members) to confirm their eligibility to sit on the Promotion and Tenure Committee: (1) when approached by or on behalf of any nominating committee; (2) over the summer after the Committee members have been elected and prior to any Committee involvement (this would catch those who might have just been appointed as Associate Dean (or Acting Associate Dean) or otherwise removed from eligibility on July 1; and (3) at the first meeting of the Committee.
- You may wish to consider electing replacements during your Committee election just in case a member is required to withdraw (Clause 14.1)
- If a member of the P&T Committee is to be considered for Promotion and/or Tenure, that member must retire from the Committee and a replacement elected (Clause 12). If a Chair/Director is being considered for Promotion and they are not an elected member of the Committee, the provisions of Clause 12 still apply (i.e., a replacement must be elected). This applies as well to Chairs/Directors who declare conflicts outlined in Clause 14.1.
- A careful read of the *Conflict of Interest and Conflict of Commitment* Article of the UWOFA Faculty Collective Agreement Article is required. The Article applies to apparent conflict rather than potential conflict; and conflict may be asserted by anyone with knowledge of a conflict. The conflict can be asserted up to the point at which the decision is made. If a member of the Promotion and Tenure Committee has a conflict of interest or apparent conflict as described in the *Conflict of Interest and Conflict of Commitment* Article, the member must withdraw (i.e., not be present for any discussion of the case or the vote) from the consideration of the relevant case and a replacement shall be elected (Clause 14.1). This requirement should be pointed out to members of the Committee as soon as the roster of candidates is finalized in order to provide an opportunity to ensure a replacement can be elected. Obviously, a member declaring a conflict at the first or a subsequent meeting of the Committee will cause an undue delay in the Committee proceedings while a replacement member is elected.
- The Dean may appoint a designate to the P&T Committee (Clauses 7 a), 8 a) and 9 a) b) and c)).

- Full-time Tenured Members are elected by UWOFA Members on Faculty Council (i.e.: students, staff and Non-Members on Faculty Council do not get a vote) (Clauses 7 d),e) and 8 b), c))
- Any Nominating Committee charged with proposing Members for election to a Promotion and Tenure Committee shall do so with regard to gender balance and to general consideration of equity and representation on the Committee (such as ethnic, disciplinary, etc.) (Clause 10)

**Recommendations:**

- A Member may withdraw his/her File at any time prior to the Committee's formulation of a recommendation (Clause 16.2). If the candidate is a Probationary Member in his/her final year, the candidate will be terminated at the end of the Probationary appointment (Clause 16.2.2).
- If the candidate is a joint appointee across two Faculties, separate recommendations are required from each Dean (Clause 17.5).
- The Committee shall discuss the recommendation letter's content, and a draft of the letter shall be made available to Committee members for comment (Clause 17.2) (This can be done electronically.)