

**PROMOTION AND TENURE GUIDE  
FOR DEANS  
AND  
ADMINISTRATIVE STAFF IN DEANS' OFFICES**

An Aid for the Implementation of the  
UWOFA Faculty Collective Agreement,  
*Promotion and Tenure Article*

2010-11

The purpose of this Promotion and Tenure Guide is to assist Deans' Offices in the administrative compilation of Promotion and/or Tenure Files for presentation to the Promotion and Tenure Committee and subsequently to the Provost. This Guide is only meant to aid in the implementation of, not alter, the terms and provisions of the Collective Agreement. In cases of dispute, the language of the Collective Agreement will prevail.

Office of Faculty Relations  
April 2011

**Clause references in this guide are to the  
*Promotion and Tenure Article* unless  
otherwise indicated.**

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## IMPORTANT REMINDERS

### File Management:

- Clause 6.5 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 before the Promotion and Tenure Committee has commenced its deliberations. In the latter case, the late letter is added to the File and the Member has 72 hours in which to examine or copy the letter and add any relevant written submissions to the File (Clauses 6.5.1 and 6.5.1.1).
- Any addenda to the File (e.g., last minute update to a C.V.) must be dated.
- Please refer to Clause 14.2.1 for the requirement to include in the file stenographic or other notes taken during P&T Committee meetings. 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 20. 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.
- NEW: 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 6.5 c) (*Note changes to Request to Students for Feedback at page 20 Sample Public Solicitation at page 21*)
- NEW: If the Dean adds names to the referee list, the Dean shall provide a description of the qualifications of each referee suggested (Clause 6.5. d) ii).
- NEW: 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 6.5. d) v)) (*Note changes to Guidelines for External Referees*)

### 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 alternates 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 or appointed pursuant to the Letter of Understanding on Committee Chair Conflicts.. 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 2010-14 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.
- NEW: The Dean may appoint a designate to the P&T Committee (Clauses 7 a), 8 a) and 9 a) b) and c)).
- NEW: Full-time Tenured Members are elected by UWOFA Members on Faculty Council (ie 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 (NEW) to general consideration of equity and representation on the Committee (such as ethnic, disciplinary, etc) (Clause 10)

### Meetings:

- At the first meeting of the Committee, the P&T Committee chair should:
  - canvas the members to ensure they remain eligible to sit on the Promotion and Tenure Committee, as circumstances may have changed since they were elected;
  - stress to the members the importance of regular attendance at these meetings, even if this means rescheduling other commitments; and
  - review the Employment Equity Guide in detail and explain the committee's duties under the Article *Employment Equity (Clause 14)*.
  - Ask if anyone is aware of actual or apparent conflicts of interest in this process and advise that any conflict shall be communicated to the Dean in accordance with the Article *Conflict of Interest and Conflict of Commitment*.
  - NEW: explain the requirements of committee confidentiality (Clause 14)
  - NEW: inform the external members of the Committee of their special responsibilities to ensure that the Committee's process and decisions benefit from comprehensive extra-Unit scrutiny. (Clause 14)
- All Committee members present for the vote must exercise their vote, even if a member has not been present at all previous meetings to consider the File. No member present may abstain (Clause 14.3). Proxy voting is not permitted. Note: the Dean or designate who chairs the Committee shall not vote except to break a tie [Clauses 7 a); 8 a); 9 a)].
- The Promotion and Tenure Committee considers available Files for Tenure before reviewing Promotion only Files (Clause 14.4). Timelines for submission to Provost: Tenure Nov. 1; and Promotion only Nov. 15. Note: The Committee may proceed with the Promotion only Files should all available Promotion and Tenure Files be delayed, until such time as a Promotion and Tenure File is ready for review.
- 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).

### 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.)
- 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. In the case of conflict, add the alternate member's name to the list. 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.
- The candidate may request a copy of the Committee's and Dean's recommendations which outline the reasons for arriving at such recommendations. Please ensure these letters are sanitized when provided to the candidate in the same way as external referee reports are sanitized (Clause 6.6).
- NEW: The Provost may consult with the Vice-Provost (Academic Planning, Policy and Faculty) and/or the Vice-President (Research and International Relations) regarding the File. Any such consultation shall be documented in writing, and this record shall be forwarded to the Member and to the Committee, and shall be included in the Promotion and Tenure file. (Clause 18.01)
- Where a Member chooses not to grieve the denial of Tenure, he or she shall be entitled to a one-year, Limited-Term, extension of appointment with no change in terms and conditions except by mutual agreement Clause 19.3.1).

#### **Presentation of the File:**

- 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, accessible only to the Committee members, and cannot be copied or otherwise reproduced. In all cases, at least one hard copy of the File must be maintained.

#### **Provisions for Limited-Term Members**

- The *Promotion and Tenure* Article provides process and criteria to enable consideration for Promotion of Limited-Term Members who are at the rank of Assistant or Associate Professor and who have Academic Responsibilities in each Teaching, Research and Service; however, the provisions for the granting of Tenure shall not apply (Clause 1.1).
- Each eligible Limited-Term Member shall have a Promotion File established by the Dean or designate (Clause 6.1).

#### **Provision for all Members with Established Promotion and/or Tenure Files**

- Under Clause 6.1, a Promotion File is established for each Tenured Member at the rank of Associate Professor and for each Member with a Limited-Term Appointment eligible under the provisions of Clause 1.1 for Promotion to Associate Professor or Professor.
- The Promotion & Tenure Committee of each Department or School or Faculty, excluding the Dean and external members, shall meet before November 30 in each year to consider the Promotion of each non-probationary Member of a Department or School or Faculty who is not already a Professor. The Committee shall provide its advice to the Dean on whether or not each such Member should be invited to undergo consideration for Promotion in the following year's cycle (Clause 6.2). In cases where the Committee advises that consideration is warranted, the Dean shall report the Committee's advice to the Member by December 20 ([see template letter included in this Guide](#)). .
- In the case of joint tenured appointments at the Associate Professor level where a Joint Promotion and Tenure Committee does not need to be struck until the year of consideration, the Committee for the November review would include the Chair(s) and/or Director(s) of the two academic Units or in the case of a Faculty without Departments or Schools a member shall be elected from the Faculty's Promotion and Tenure Committee to sit in the place of the Dean [consistent with Clause 9 d)] and two members from and elected by the members of each of the existing Units' Promotion and Tenure Committees (excluding any external members on the Units' Committees).

While a Promotion File may have been created under Clause 6.2, if the Member has recently been promoted to Associate Professor and is not yet eligible to apply for Promotion to Professor or has provided notice of retirement, there is no need to review the Promotion File.

- A Member who does not wish his/her File to be considered during the November review under Clause 6.2, may give notice, in writing, to the Committee with a copy to the Official File. This notice must be renewed annually; otherwise, the Promotion File will be considered.
- AMENDED: By end of March, 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)
- AMENDED: A probationary Member who wishes to be considered in the fourth year of their Appointment shall make a request in writing by the *end of March* of the third year of the Appointment (Clause 15.4). A Limited Term Member at Assistant rank may request early consideration for Promotion in writing by *the end of March* of the year before consideration. (Clause 15.4.2). A Member who is a Tenured Associate Professor may request consideration for Promotion to Professor in writing by the *end of March* in the year of consideration. (Clause 15.6)
- NEW: Where a Member has taken an Employer-approved Leave of more than 24 weeks, the Member's Probationary Appointment is automatically extended by one year for each Leave in excess of 24 weeks (Clause 15.7). However, the Member may elect to be considered for Tenure in what would have been the final year of his/her Probationary Appointment but for the Leave(s) taken, by giving written notice to the Dean before the end of March of the calendar year in which the consideration would commence. (Clause 15.7.1)

#### **Probationary Candidates who Apply for Sabbatical Leave:**

- We are required by Clause 13.1 a) *Sabbatical Leave* to give the Provost's response to Sabbatical Leave applications within 2 weeks of the approval/denial of Tenure. In order to achieve this, we need the Deans to make a recommendation on the Sabbatical Leave application within 2 weeks of making a recommendation on

the P&T File. Recommendations on the Sabbatical Leave application should be “*subject to granting of tenure.*”

### Annual Review Meetings and Report

- Clause 5 requires the Dean to solicit comments from any individuals named by the Member in advance of the annual review meeting.
- NEW: The Report of the Annual Review Meeting shall be based on the annual interview, on consideration of the Probationary member’s Annual Performance Evaluation, and on written comments that the Dean may solicit from the Probationary Member, other Members, colleagues from the discipline within the University, and/or the Chair of the Department (if applicable) under Clause 5.
- REMINDER: It is critical that any concerns and expectations regarding performance or trajectory to tenure be raised in the clearest of terms and be addressed at the Annual Review Meeting and outlined in the Report of the meeting. (See NEW requirements under Clause 5.1, 5.1.1, and 5.1.2)
- NEW: For Joint Appointments, the Annual Review Meeting shall include both Deans (or designates) and Chair(s)/Director(s) of any Department/School where the Joint Appointment is held. (Clause 5.3)

**SAMPLE DEAN'S LETTER TO CANDIDATE WHERE NOVEMBER REVIEW COMMITTEE FEELS  
PROMOTION IS WARRANTED – CLAUSE 6.2**

(by December 20)

Dear \_\_\_\_\_

The Promotion and Tenure Committee has reviewed your Promotion File under Clause 6.2 of the *Promotion and Tenure* Article and reports that in its opinion consideration for Promotion to \_\_\_\_\_ is warranted in your case.

In accordance with Clause 15 of the *Promotion and Tenure* Article, **pick as appropriate (insert if Faculty with Departments or Schools)** I will be consulting with the **(Chair)/(Director) (and the) Promotion and Tenure Committee** regarding your Promotion File by the end of March. If I agree with the advice of the Promotion and Tenure Committee, I will be contacting you at that time to provide the items which will be required under Clause 6.5 for your formal consideration.

Sincerely,

(Dean)

cc: Chair/Director, if appropriate

**SAMPLE LETTER TO CANDIDATE WHO HAS REQUESTED WITHDRAWAL OF P&T FILE**

Dear [Member]:

I have received your letter of (date) informing me that you are withdrawing your name from consideration for **pick as appropriate (tenure and promotion to Associate Professor)/(tenure)/(promotion to Associate Professor/promotion to Professor)**. I am writing to acknowledge your request and to confirm that we are withdrawing your Promotion and Tenure File in accordance with the provisions of the Collective Agreement, Clause 16.2. **[Insert for Probationary candidates in final year** This means that in accordance with Clause 16.2.2, your employment at Western will cease at the end of your probationary period, June 30, 20\_\_.]

***Insert Dean's personal note: For example, if accepting a job elsewhere, consider the following:***

I would like to express our appreciation for your forthrightness in letting us know now that you will not be remaining in London. We hope you have forged strong relations with the (Department name) over the past few years and will be able to use your Western experience to further your career.

We all wish you well in your future endeavours.

Sincerely,

[Dean]

cc: Chair of Department/School (if applicable)  
Members of (Unit name) Promotion and Tenure Committee

**SAMPLE LETTER FROM CANDIDATE DESIGNATING AN AGENT**

If a Member who is under consideration has been called away from campus for an emergency or has become ill or is otherwise unable to review the File as required under Clause 6.5.1 of the *Promotion and Tenure Article*, it is possible for the Member to designate an alternate to review the File. If this should happen, this letter may be useful.

(Date)

Dear (Dean)

[State reason for inability to review Promotion and/or Tenure File and to sign the table of contents (e.g., unavoidable absence from the Country), therefore, I designate \_\_\_\_\_ as my agent, with full authority to examine the Promotion and/or Tenure File on my behalf to determine if the Table of Contents precisely describes the contents of my Promotion and/or Tenure File and to determine if my Promotion and/or Tenure File is complete and ready for consideration by the Promotion and Tenure Committee. I also give the above-named individual full authority to sign the Table of Contents page on my behalf.

I agree that the signature of my agent on the Table of Contents page of my Promotion and/or Tenure File shall have the same force and effect as if I had attended personally to review my Promotion and/or Tenure File.

Sincerely

(Candidate)

**CURRICULUM VITAE**

\_\_\_\_\_, 20XX

1. **NAME:**

**RANK:**

**DATE TENURED:**

2. **EDUCATION:**

Degree	University	Department	Year
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3. **EMPLOYMENT HISTORY:**

Date	Rank and Position	Department	Institution
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4. **HONORS AND AWARDS:**

5. **TEACHING**

- a) undergraduate courses taught (course titles and descriptions) with a summary of evaluations;
- b) graduate courses taught (course titles and descriptions) with a summary of evaluations;
- c) graduate supervision (if any)
  - 1. master's theses, with titles and descriptions (indicate if completed or in progress)
  - 2. doctoral theses, with titles and descriptions (indicate if completed or in progress)
  - 3. post-doctoral fellows, with descriptions of disciplinary areas;
  - 4. committees

6. **PUBLICATIONS:**

- a) Summary: (Faculty option)
  - Books: #
  - Chapters in Books:
  - Articles in Peer-Reviewed Journals:
  - Articles in Peer-Reviewed Conference Proceedings:
  - Articles in non-Peer-Reviewed Journals and Conference Proceedings:
  - Abstracts, Presentations at Professional Meetings:
  - Technical Writings:
  - Other: (e.g., Book Reviews, Letters to the Editor)
  - Submitted Manuscripts and/or Work in Preparation (optional):

- b) Details: (Authorship in order of original publication)

Books

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Chapters in Books and Symposia (use customary discipline format but include all necessary information, especially page numbers)

Public, J. Q., and Doe, J. Dynamic properties of the cat extraocular muscle. In G. Lennerstrand and P. Bach-y-Rita (Eds.), Basic mechanisms of ocular motility and their clinical implications (pp. 497-500). Wenner-Gren Center International Symposium Series. Oxford: Pergamon Press. 1975.  
Papers in Peer-Reviewed Journals (with complete title of Journal)

Doe, J., and Public, J. Q. Implications of rotational kinematics for the oculomotor system in three dimensions. Journal of Neurophysiology, 58, 832-849, 1987.

Papers in Refereed Conference Proceedings

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Abstracts, Presentations to Professional Meetings

Doe, J., and Smith, D. How to measure eye position quaternions. Society for Neurosciences. 1988.

Technical Writings

----

Book Reviews

----

Submitted Manuscripts and/or Work in Preparation (Any or all of these sections may be included)

----

Accepted for Publication (i.e., in press, forthcoming) (Final version accepted, documentation or contract attached)

----

Accepted Pending Revision (documentation attached)

----

Submitted for Publication/Under Review

----

In progress

----

7. **RESEARCH FUNDING:** (indicate year granted, principal investigators in order of grant application, grantor, purpose or title, annual amount, type of grant)

Social Sciences and Humanities Research Council, "Trade and Investment in Canada, 1936-1949", \$82,000 awarded to J. White and B. Adams in 1988 to cover a period of two years: \$40,000 for October 1988 to September 1989 and \$42,000 for October 1989 to September 1990.

Faculty of Social Science, "Canadian Trade Policy", \$450 awarded in 1988 to cover period of one year.

8. **OTHER SCHOLARLY AND PROFESSIONAL ACTIVITIES:**

9. **UNIVERSITY ADMINISTRATIVE DUTIES:**

(Indicate dates and positions held - e.g., chair, member)

- a) Department, School or disciplinary area
- b) Faculty
- c) University
- d) Faculty Association

10. **COMMUNITY SERVICE:**

SAMPLE COVER PAGE

PROFESSOR

Department of

Faculty of

Considered for

## SAMPLE DEAN'S TRANSMITTAL LETTER

- The purpose of this letter is to:
  - provide the Provost and/or designate with the Clause in the *Promotion and Tenure Article* under which the candidate is being considered. The information is required for the preparation of an annual report to Senate as stipulated in Clause 21;
  - summarize the level of review undertaken and the recommendations made prior to submission to the Provost;
  - notify the candidate of the recommendations of the Committee and Dean (Clause 17.3).
- Depending upon Faculty practice, the letters of recommendation, with reasons, from the P&T Committee and the Dean may be sent to the candidate at the same time (appropriately sanitized).

[Date]

Professor Janice Deakin  
Provost & Vice-President (Academic)

Dear Dr. Deakin:

In accordance with the requirements of the Collective Agreement and pursuant to Clause ***[pick appropriate Clause and Article]*** [(15.1) (15.2) (15.3) (15.4) (15.4.2) (15.5) (15.5.1) (15.6) (15.6.1) of the *Promotion and Tenure Article*] or [5.12.4 of the *Appointments Article*], Professor \_\_\_\_\_ has been considered for \_\_\_\_\_. The Committee on Promotion and Tenure of the Department of \_\_\_\_\_ has recommended that Professor \_\_\_\_\_ be \_\_\_\_\_, effective July 1, 200\_\_\_. As Dean of \_\_\_\_\_, I concur with the Committee's decision.

Sincerely

[Dean]

Encl.

cc: (Candidate) – only if Promotion and/or Tenure (that is, do not send copy if initial appointment to the University is with tenure)  
(Chair/Director)

## SAMPLE TABLE OF CONTENTS – After Promotion and Tenure Committee Review

This is optional. If a request for information or consultation has occurred (Clause 16.1), it may be wise to include a Table of Contents to show the organization of this part of the dossier. There is no requirement in the Collective Agreement for the candidate to review and sign-off on the dossier at this point in the process.

TABLE OF CONTENTS  
of the Promotion and/or Tenure File of  
Professor \_\_\_\_\_, Department of \_\_\_\_\_, Faculty of \_\_\_\_\_

	<u>Page</u>
1. Dean's Summary Submission....	
2. Dean's Recommendation ....	
3. Committee's Recommendation ...	
a) Transcription of Committee notes (if applicable).....	
b) Original copy of stenographic or other notes (if applicable)....	
4. Consultation Materials Provided by Candidate (if applicable)....	
5. Request for Consultation (if required)....	
6. Clarification Materials Provided by Candidate (if applicable)....	
7. Committee's Request for Additional Information (if required)....	
8. Promotion and/or Tenure File as signed by candidate	

This form provides a summary of the candidate's employment history, the action being considered, the recommendations being made and serves as a checklist of items required in the dossier.

**DEAN'S SUMMARY SUBMISSION FORM**

THE UNIVERSITY OF WESTERN ONTARIO

Faculty: \_\_\_\_\_ Department/School: \_\_\_\_\_ Name of Candidate: \_\_\_\_\_  
 (surname) (initials)

PROMOTION AND/OR TENURE RECOMMENDATION

**DEAN'S SUMMARY SUBMISSION**

**Candidate:**

**Academic rank and status:**

	Rank	Tenured (T), Limited-Term (LT), Probation (P)	Date
First full-time appointment:			
Changes to date:			

PhD: Yes: \_\_\_\_\_ No: \_\_\_\_\_ Date (if yes): \_\_\_\_\_

**Proposed Change (indicate as applicable):**

- Promotion: Yes: \_\_\_\_\_ to rank of: \_\_\_\_\_ effective date: \_\_\_\_\_
- Tenure: Yes: \_\_\_\_\_ effective date: \_\_\_\_\_

**Documentation Checklist**

Recommendations (including evaluation of service (e.g., general contributions to the University, academic profession and community)		Teaching Dossier (Continued)	
i) Dean(s) Recommendation(s) Yes _____ No _____		Peer teaching evaluations (if performed)	_____
ii) Faculty Committee (if applicable) Yes _____ No _____		Student teaching evaluations	_____
iii) Department Committee (if applicable) Yes _____ No _____		Graphical/tabular summaries of student ratings	_____
Record of Committee meetings (if applicable):		Unit's Public Solicitation:	
Original notes and any transcriptions	_____	Copy of posting	_____
Confirmation re Committee membership eligibility	_____	Letters received (sorted Faculty, students, staff)	_____
Consultation materials (if applicable)	_____	External Review:	
Request for consultation (if applicable)	_____	Original letters from external referees (indicate #)	_____
Clarification materials (if applicable)	_____	Signed list of potential referees with biographies	_____
Committee's request for information (if applicable)	_____	Sample letter and guidelines sent to referees	_____
Current curriculum vitae	_____	Arrangements under Collective Agreement (e.g. AWL)	_____
Candidate's statement (if supplied)	_____	Annual meetings:	
Teaching Dossier*:		Responses from Member to April meetings	_____
Teaching philosophy & innovations (recommended)	_____	Written report of Dean, or designate, from meetings	_____
Courses taught, outlines, students supervised	_____	Curriculum Vitae	
Letters from students, parents, etc.	_____	Revised by March 1 of most recent year, or	_____
Copy of candidate's letters soliciting opinions	_____	Member's February CV used for the Annual Report	_____
		Initial Letter of Appointment and all revised Letters	_____

\_\_\_\_\_  
 Dean's (or designate's) Signature

\_\_\_\_\_  
 Date

\*(refer to [http://www.uwo.ca/tsc/dossier\\_menu.html](http://www.uwo.ca/tsc/dossier_menu.html))

Revised March 2008

**SAMPLE LETTER FROM COMMITTEE REQUESTING ADDITIONAL INFORMATION (Clause 16.1)**

- If the P&T Committee is considering a negative recommendation or has concerns about the candidate's record of performance, the Committee must write a letter requesting additional information from the candidate (Clause 16.1) prior to making its recommendation.
- A copy of this letter and any response from the candidate must be added to the Promotion and/or Tenure File.
- This letter must not refer to any consultation.

[Date]

CONFIDENTIAL

Dear [Candidate]:

The Department of \_\_\_\_\_ Committee on Promotion and Tenure has met to consider your Promotion [insert if applicable and Tenure] File and has not yet arrived at a recommendation. The Committee has concerns about your record of performance and in accordance with the provisions of Clause 16.1 of the *Promotion and Tenure* Article of the Collective Agreement, would like to request some additional information from you at this time. With respect to your record of performance in \_\_\_\_\_, the Committee would like \_\_\_\_\_ (enumerate all concerns of the Committee in each area of teaching, research and/or service).

We look forward to receiving this information within **two weeks** of the date of this letter. If you are unable to meet this deadline, please let me know and we will consider a reasonable extension.

Sincerely,

[Chair of P&T Committee]

cc: Members of the P&T Committee

## SAMPLE LETTER FROM COMMITTEE REQUESTING A CONSULTATION (Clause 16.1)

- If the P&T Committee has reviewed and considered the additional information provided by the candidate or if the candidate failed to respond to the request for information or if the P&T Committee is still considering a negative recommendation, the Committee must write a letter requesting a consultation with the candidate under Clause 16.1.
- A copy of this letter and any material submitted by the candidate at the consultation must be added to the Promotion and/or Tenure File.

[Date]

CONFIDENTIAL

Dear [Candidate]:

Further to my letter of [date] **select either:** and following a review of your Promotion [insert if appropriate and Tenure] File and the additional material submitted by you on [date] **or** and your failure to respond to that request for further information], the Department of \_\_\_\_\_ Committee on Promotion and Tenure continues to have concerns regarding your performance. In accordance with the provisions of Clause 16.1 of the *Promotion and Tenure* Article of the Collective Agreement, the Committee has determined that a consultation is required. The specific concerns of the Committee are [insert a statement describing all of the matters of concern as required under Clause 16.1.1]

My office will contact you to schedule the consultation with the Committee. At this meeting, you will be given the opportunity to make a general statement and to provide additional documentation relevant to the concerns outlined above. The Committee will then ask you questions. In accordance with Clause 16.1.3, you may have an academic colleague present at this consultation and you may request time to consult with your academic colleague at any time during this meeting. Finally, you and/or your academic colleague will be allowed an opportunity to make a final statement.

If you have any questions with regard to this consultation, please contact me. Please be advised pursuant to the Collective Agreement (*Promotion and Tenure*, Clause 16.1.2) that should you fail to meet with the Committee within two weeks of this request for a consultation, you will have been deemed to have declined to meet with the Committee. If you are unable to meet this deadline, please contact me and we will consider an extension.

Sincerely,

[Chair of P&T Committee]

cc: Members of the P&T Committee

**SAMPLE TABLE OF CONTENTS AND SIGNATURE PAGE – Before Committee Review**

- Please ensure that the Letter of Appointment has been appropriately sanitized (e.g., personal information such as salary)
- Ensure that all contents placed in the File are appropriately dated.

TABLE OF CONTENTS  
of the Promotion and/or Tenure File of  
Professor \_\_\_\_\_, Department of \_\_\_\_\_, Faculty of \_\_\_\_\_

	<u>Page</u>
1. Current Curriculum Vitae....	
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Letters Received from Faculty	
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9. Responses from Member to April Meetings (if applicable) and Written Report of Dean, or Designate, from April or May Meetings....	
10. Up-to-date Curriculum Vitae by March 1 of each Year...	
11. Letter of Appointment	

I indicate by my signature that this Table of Contents describes precisely the contents of this Promotion and/or Tenure File; that this Promotion and/or Tenure File is complete and ready, subject to inclusion of the identity of referees and other contributors, for consideration by the Committee on Promotion and Tenure.

\_\_\_\_\_  
Candidate's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Dean's (or designate's) Signature

\_\_\_\_\_  
Date

## SAMPLE LETTER TO STUDENTS REQUESTING FEEDBACK (Clause 6.5(c))

[Date]

Dear [student]:

[Insert as appropriate Professor Mr. Ms]\_\_\_\_\_ is being considered for \_\_\_\_\_ at The University of Western Ontario. In arriving at a decision, the Committee reviewing this case will be considering [Professor Mr. Ms] \_\_\_\_\_'s performance in each of the areas of teaching, research, and service.

The purpose of the solicitation is to provide information about whether the candidate's performance of Academic Responsibilities (Teaching, Research and Service) meets the relevant criteria for promotion and/or tenure.<sup>1</sup>

In assessing performance in teaching, the Committee will have the results of the annual teaching evaluations along with peer opinions. In addition, it would be valuable to have the input from some of (his)/(her) former students such as yourself. You are invited to submit to me your written assessment of [Professor Mr. Ms] as a teacher and mentor. It is important that you provide forthright and honest opinions and that you sign your letter. Unless you specifically indicate in the letter that your identity can be known to the candidate, your identity will be kept confidential from the candidate. The contents of your letter will be revealed to [Professor Mr. Ms] by including in (his)/(her) Promotion and/or Tenure File a copy of your letter with all identification removed. If you wish your identity to remain confidential, please phrase your letter such that your identity is not revealed by content. You should be aware that your letter in its entirety will be seen by the Promotion and Tenure Committee reviewing this case.

To meet our deadlines, we hope to receive your report by \_\_\_\_\_. If you prefer, you may send your report by courier (collect) or Facsimile Communication (to Fax number\_\_\_\_\_). If providing your reply by Fax, please send the original through the mail.

I am grateful to you for undertaking this task. We appreciate your considered judgement of the candidate's qualifications.

Sincerely,

[Dean, or designate]

<sup>1</sup> The Faculty Collective Agreement requires that for the attainment of promotion and/or tenure, the candidate must have established a sufficiently strong record of performance in Teaching, Research and Service, evaluated with reference to the national and international standards within the candidate's discipline. The process for evaluation is in accordance with the relevant criteria in Clauses 3 through 4.3.2 of the Article *Promotion and Tenure* which may be found at <http://www.uwo.ca/pvp/facultyrelations/documentation/FCA%20FINAL.pdf>

## SAMPLE NOTICE FOR POSTING OF PUBLIC SOLICITATION BY END OF MAY (Clause 6.5 (c))

Under the previous *Conditions of Appointment* a Department Chair was required to provide a recommendation in the review of a candidate for promotion and/or tenure. Now, a Department Chair or the Director of School may provide a letter of support for the candidate; however, it may not be advisable for an elected member of the P&T Committee to provide such a letter since that could be perceived as a bias.

### PUBLIC SOLICITATION

#### Promotion and/or Tenure

The Faculty Collective Agreement requires that in evaluating a faculty member's performance for promotion and/or tenure purposes, a public solicitation for letters must occur.

The purpose of the solicitation is to provide information about whether the candidate's performance of Academic Responsibilities (Teaching, Research and Service) meets the relevant criteria for promotion and/or tenure.<sup>1</sup>

[Insert as appropriate Professor Mr. Ms] \_\_\_\_\_ is being considered for \_\_\_\_\_. Anyone wishing to make a written submission can do so until the File is closed. It is anticipated this will occur [approximately] by \_\_\_\_\_. Those engaged in the review of the Promotion and/or Tenure File may wish to refrain from providing a letter of support in order to avoid a perception of bias.

Unless you specifically indicate in your submission that your identity can be known to the candidate, your identity will be kept confidential from the candidate. The contents of your letter will be revealed to [Professor Mr. Ms] by including in [his]/(her) Promotion and/or Tenure File a copy of your letter with all identification removed. If you wish your identity to remain confidential, please phrase your letter such that your identity is not revealed by content. You should be aware that your letter in its entirety will be seen by the Promotion and Tenure Committee reviewing this case.

We appreciate your considered judgement of the candidate's qualifications.

This submission should be sent to (Dean, or designate)

<sup>1</sup> The Faculty Collective Agreement requires that for the attainment of promotion and/or tenure, the candidate must have established a sufficiently strong record of performance in Teaching, Research and Service, evaluated with reference to the national and international standards within the candidate's discipline. The process for evaluation is in accordance with the relevant criteria in Clauses 3 through 4.3.2 of the Article *Promotion and Tenure* which may be found at <http://www.uwo.ca/pvp/facultyrelations/documentation/FCA%20FINAL.pdf>

## SAMPLE SUMMARY OF QUALIFICATIONS OF POTENTIAL EXTERNAL REFEREES

- The listing in the P&T File must contain the complete listing of potential referees and, therefore, will consist of more names than those ultimately selected.
- All names of potential referees must have been offered by the candidate or, if added by the Dean, reviewed by the candidate.
- If the candidate objects to any additional potential referees, the candidate can indicate reasons in the space below or provide a separate letter of explanation.
- No other listing of external referees should appear in the File.
- The Faculty Collective Agreement does not specify the qualifications of potential referees other than they be experts in the candidate's areas of specialization. Note: Potential Referee # 2 below is not currently a faculty member.
- Where possible, the number of external referees listed by the Member shall be at least three times the number of external referees to be chosen (Clauses 6.5(d)(ii) and (iv)).

### Potential External Referees

1. Professor \_\_\_\_\_, currently a Professor of Chemistry at Northwestern University in Evanston, Illinois, has an international reputation as one of the founders of modern coordination chemistry. His book with R.G. Pearson, "Mechanisms of Inorganic Reactions" has had an enormous influence on workers in the field. His more recent interests include the chemistry of metal nitrenes and of synthetic oxygen carriers. He has received many honors and awards in the United States.

2. Dr. \_\_\_\_\_ is a world-recognized expert in the field of bioinorganic chemistry. He is editor of the highly regarded "Inorganic Biochemistry" and, at present, is the Chief, Laboratory of Cellular and Molecular Biology, at the National Institute of Aging, NIH. His earlier positions include professorships at the University of Louisiana and Georgetown University.

3. Professor \_\_\_\_\_, Professor of Chemistry at UBC, was one of the founders of the Bioinorganic Group at UBC. She was the 1985 recipient of the prestigious Noranda Lecture Award of the Chemical Institute of Canada and is an editor of the Canadian Journal of Chemistry. Her own research has included major contributions to various aspects of bioinorganic chemistry and the chemistry of homogeneous catalytic processes.

4. Professor \_\_\_\_\_. Professor of Chemistry at the University of Virginia is the world expert on MCD spectroscopy. Her expertise covers instrumentation, theoretical interpretations and practical chemical applications of this new, important technique.

5. Professor \_\_\_\_\_ is a Professor in the Biochemistry Department, St. Jude Children's Hospital in Memphis, Tennessee. He is an international leader in the area of peroxidase structure and biochemistry. He has written a classic review and many research papers on this topic.

### Signatures

I indicate by my signature below full and complete agreement with the above listing of potential external referees.

OR

In accordance with Clause 6.5 d) (ii) of the Article *Promotion and Tenure*, I am objecting to the inclusion of \_\_\_\_\_ as potential referee(s) on the grounds that

\_\_\_\_\_  
Candidate's signature

\_\_\_\_\_  
Dean's signature

\_\_\_\_\_  
Dean's signature (if joint)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## SAMPLE LETTER TO EXTERNAL REFEREE

- Please choose content elections as appropriate.
- Since external referees are being asked to assess the candidate's performance in research, do not include teaching information in the package which goes to the referees.
- The Dean shall provide to the referees a brief statement from the candidate if the candidate feels such a statement is necessary to convey an adequate picture of his or her achievements (Clause 6.5(d)(v))

[Date]

CONFIDENTIAL

Dear [Name]:

I am pleased that you are prepared to serve as an external referee of the research and scholarship of \_\_\_\_\_, an \_\_\_\_\_ in our Department of \_\_\_\_\_, now being considered for ***pick as appropriate (tenure)/(promotion)/(promotion and tenure)***.

### **Insert in the Case of Joint Appointee**

The candidate holds a joint appointment at The University of Western Ontario. While the candidate's home appointment is in the Department of \_\_\_\_\_, **(he)/(she)** is also appointed in the Department of \_\_\_\_\_, Faculty of \_\_\_\_\_. In this regard, the candidate has full-time obligations divided between the two academic units and may carry out research either in one or in both units. Joint appointments are designed to increase contact and collaboration between academic units and are to be understood as single appointments straddling two academic units rather than two half-appointments held independently in two separate units. The candidate will be assessed by a single Promotion and/or Tenure Committee with membership drawn from the two academic units involved.

### **Insert in the Case of Tenure Only (applies to current Associate Professors with Probationary contracts)**

Normally a candidate at the Associate Professor rank must be granted tenure within three years of the initial full-time Probationary (tenure-track) appointment to The University of Western Ontario. In your evaluation of this candidate's performance, I ask that you comment explicitly on the candidate's suitability for tenure.

### **Insert in the Case of Tenure and Promotion (applies to current Assistant Professors with Probationary contracts)**

Normally a candidate must be granted tenure and promoted to Associate Professor within six years of the initial full-time Probationary (tenure-track) appointment to The University of Western Ontario. Promotion to the rank of Associate Professor occurs at the same time as tenure is granted. In your evaluation of this candidate's performance, I ask that you comment explicitly on the candidate's suitability for promotion and tenure.

### **Insert in the Case of Promotion to Professor**

The conferral of the rank of Professor at The University of Western Ontario recognizes high achievement in teaching and research. A candidate for promotion to the rank of Professor shall have sustained the record of performance in teaching and in research required to warrant appointment at, or promotion to, the rank of Associate Professor, and shall also have established a record of performance in at least one of these criteria that significantly surpasses that standard.

**Insert in the Case of Limited-Term Promotion to Associate Professor or Professor**

In accordance with our Collective Agreement, Limited-Term faculty members may be considered for promotion to Associate Professor or Professor as long as they have Academic Responsibilities in each of Teaching, Research and Service. The provisions for the granting of tenure do not apply. Western is committed to providing appropriate promotion opportunities to deserving candidates by giving proper consideration to their work in the context of their workload balance. The candidate holds a Limited-Term Appointment with a Research component equalling [XX%] of his/her total commitment to the University.

**Insert for all**

External referees are being asked to assess the candidate's performance in research and scholarship as indicated by (his)/(her) publications and (his)/(her) reputation among other scholars in (his)/(her) fields of major interest. The candidate's teaching ability and general contributions to the University are being assessed internally. For the purposes of this assessment, we ask that you comment on the candidate's suitability for **pick as appropriate (tenure)/(promotion)/(promotion and tenure)** assuming that other aspects of (his)/(her) performance meet the standards expected at The University of Western Ontario.

A copy of our guidelines for external referees indicating the specific questions which we would like you to address in your report is enclosed. I am enclosing the candidate's up-to-date curriculum vitae and copies of **[insert at Faculty option: a maximum of ten]** publications that the candidate has chosen as representative of (his)/(her) research and scholarship. Although your assessment will cover the totality of the candidate's scholarly contributions, we ask that you direct your most careful attention to those contributions which fall within your own area of specialization. **[insert if applicable: At the request of the candidate we are including the candidate's statement conveying his or her achievements].** We are unable to offer an honorarium for this service but are pleased to allow you to retain the scholarly materials for your own library collection.

I have selected your name from a list of several nominees submitted to me by the candidate. Referees' reports are provided to the Promotion and Tenure Committee as well as to the Provost and Vice-President (Academic). The reports, without attribution, are disclosed to the faculty member concerned. To protect the identity of the particular referees, all marks of identification are deleted from the referees' letters. Given this degree of anonymity, I trust you will feel free to express your views on the candidate as frankly as possible.

To meet our deadlines, we should like to receive your report by \_\_\_\_\_. If necessary, please send your report by courier (collect) or Facsimile Communications (to FAX number \_\_\_\_\_). If providing your response by FAX, we ask that the original of your report be sent subsequently through the mail.

I and the members of this Faculty are grateful to you for undertaking this task. You may rest assured that this procedure is not simply a formality; your views and recommendations will have an important bearing upon the decision made in this matter. We wish to have a review that accurately reflects your considered judgement of the candidate's qualifications.

Yours sincerely

[Dean]

Encls.

Guidelines for External Referees  
List of all documents sent to referee  
**(Listing)**  
**Candidate's statement (if provided)**

## GUIDELINES FOR EXTERNAL REFEREES

1. The University is seeking an independent, unbiased evaluation of the candidate's research and scholarly performance. If you are a relative, close personal friend, former graduate school teacher, thesis advisor or examiner, present or former student, present or former co-worker, co-author of the candidate, or if you feel that your personal relationship to the candidate is such as to affect your assessment, please disqualify yourself.
2. Referees should omit their names and all other means of identification from their reports. Referees are urged to be as frank and direct as possible.
3. Referees should include in their reports brief comments on each of the questions listed below, but should also be free to refer to any other matters which they believe may assist the University in arriving at a decision. The candidate is being considered for **pick as appropriate (promotion to Associate Professor)/(promotion to Professor)/(promotion to the rank of Associate Professor and the granting of tenure)/(the granting of tenure)**. In accordance with the Collective Agreement, the evaluation of the record of performance in research shall take into account quality, creativity and significance for the discipline in question, as well as productivity. The criteria for evaluation of the record at Western are set out in the Faculty Collective Agreement, *Promotion and Tenure* Article, at Clauses 3 through 4.3.2. A copy of those provisions is provided below.
  - a) Were you aware of the candidate's research and scholarship before now? Had you read any of his or her publications?
  - b) How significant is the candidate's research as a scholarly contribution to the discipline; **where relevant** the profession; and to his or her special area of interest? **Please comment specifically on the quality of individual publications.**
  - c) Apart from his or her scholarly work, do you know of other contributions the candidate has made to the development of the subject in Canada or elsewhere - e.g., through organizing conferences, activities in learned societies, governmental commissions and so forth? How significant have these activities been from the standpoint of promoting teaching and scholarship in the subject?
  - d) On the basis of the information available to you, where would you rank the candidate's research and scholarship relative to others whom you know of a similar background and stage in their career?
  - e) On the strength of research and scholarly activity, would you regard the candidate as a strong candidate for **pick as appropriate (promotion)/(promotion and tenure)/(tenure)** in your own Department or Faculty (assuming that the candidate has met Western's requirements in the areas of teaching and other contributions to the university community)?
  - f) Assuming that the candidate meets satisfactorily other criteria being assessed internally, is his or her scholarship as revealed by both the quantity and the quality of publications and unpublished work such that you would recommend the

candidate for **pick as appropriate (promotion)/(promotion and tenure)/(tenure)?**  
Please explain the basis of your assessment.

*Excerpt of Clauses 3 through 4.3.2 of the 2010-2014 University of Western Ontario Faculty Collective Agreement, Promotion and Tenure Article.*

3. Promotion and the granting of Tenure by the Employer shall be on the basis of a sufficiently strong record of performance established by the candidate in Teaching, Research, and Service. The range of duties encompassed by each of Teaching, Research and Service is defined in the Article *Academic Responsibilities of Members*. The performance in Research shall be evaluated with reference to the national and international standards within the candidate's discipline. When a candidate is considered for Promotion and/or Tenure, evidence shall be provided to the Promotion and Tenure Committee so it can decide whether the candidate has established a record of performance consistent with the requirements above and in accord with the following criteria for evaluating the record of performance.
  - 3.1 The criteria for evaluating the candidate's record shall be:
    - 3.1.1 Performance in Teaching. The evaluation of performance in Teaching shall be based on a teaching record which may include any material deemed by the candidate to be relevant to the work of Teaching. The Chair or Dean shall formally solicit the written opinions of current and former graduate and undergraduate students and members of faculty about the candidate's performance in Teaching. The teaching record shall also include any available student evaluations of Teaching.
    - 3.1.2 Performance in Research. The evaluation of the record of performance in Research shall take into account quality, creativity and significance for the discipline and, where relevant, for the profession in question, as well as productivity. The research record may include any material deemed by the candidate to be relevant including non-refereed articles, unpublished documents, works in progress and creative works as described in the Articles *Academic Responsibilities of Members* and *Annual Performance Evaluation*. However, in accord with Clause 3 of this Article, Promotion and the granting of Tenure by the Employer is on the basis of an established record of performance and not on the basis of potential to establish such a record; in evaluating the record of performance, unpublished documents, work in progress, and outcomes of activities in the area of Research that have not undergone peer review shall be weighted accordingly. The written opinion of at least three arm's-length experts in the candidate's area of specialization who are not members of the University shall be obtained.
    - 3.1.3 Performance in Service. Such contributions may take the form of administrative committee work, or other forms of significant Service which contribute to the University's functions.
4. Each candidate for Promotion and/or the granting of Tenure is expected to establish a record of performance in each of Teaching, Research and Service.

- 4.1 Subject to the provisions of Clause 4.2 below, the significance accorded to Teaching and Research shall be approximately equal and, in all cases, each shall be accorded greater significance than Service. The records of performance in both Teaching and Research must be sufficiently strong to warrant the granting of Tenure and/or Promotion at The University of Western Ontario. While a candidate must have achieved a satisfactory record of performance in Service, the meritorious performance of these duties shall not compensate for an insufficiently strong record of performance in Teaching or Research. However, an unsatisfactory record of performance in Service contributions may be an important factor in the denial of Tenure and/or Promotion.
- 4.2 The relative significance accorded to Teaching and Research by a Promotion and Tenure Committee shall be subject to any arrangements described in the Letter of Appointment and any arrangements made under any of the provisions of this Collective Agreement.
- 4.3 The conferral of the rank of Professor shall recognize high achievement in Teaching and Research. A candidate for Appointment at, or promotion to, the rank of Professor shall have sustained the record of performance in Teaching and in Research required to warrant Appointment at, or promotion to, the rank of Associate Professor, and shall also have established a record of performance in at least one of these criteria that significantly surpasses that standard.
  - 4.3.1 While the recommendation for Appointment or Promotion to the rank of Professor shall be based primarily on Teaching and Research, a candidate must also have established a significant record of performance in Service contributions.
    - 4.3.1.1 In assessing the record of performance in Teaching, Research and Service during consideration for Promotion to the rank of Professor, any alterations achieved through the provisions of this Collective Agreement that greatly increase the balance of a Member's workload in the area of Service shall be taken into account.
  - 4.3.2 Although sustained high achievement shall normally be expected of a successful candidate for the rank of Professor, length of service shall not be a criterion for Promotion.