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Promotion & Tenure Information Session

Presented by Western University and the
University of Western Ontario Faculty Association

Clause References

- *Promotion, Tenure and Continuing Status*
article: indicated in parentheses, e.g., [6.5 d)]
- If referencing other articles of the Collective Agreement, the title of article will also appear, e.g., *Appointments 6.1*

NOTE: clause references reflect the 2018-2022 FCA, a copy of which is available on the [Faculty Relations website](#)

Where do I find the best information about the Promotion and Tenure process?

- Review and read the *Promotion, Tenure and Continuing Status* article of the [UWOFA Collective Agreement](#)
- Attend information sessions like this one
- Discuss and ask questions with multiple colleagues who have gone through the process

Application of the *Promotion, Tenure and Continuing Status* Article

Full-Time Members UWOFA Bargaining Unit:

- Tenured Associate Professors (1)
- Probationary Assistant and Associate Professors (1)
- Limited-Term Assistant/Associate Professors with academic responsibilities in Teaching, Research and Service (promotion only) (1.1; Academic Responsibilities 2 - 7)
- Basic Scientists in Clinical Departments [Basic Scientists in Clinical Departments 5 - 6.3 c)]
- Externally-Funded appointees (promotion only) (Appointments 4.6)
- (includes Joint Appointees)

Who can I go to for help?

- Dean, Chair, Director, colleagues, mentors, Faculty Association, Faculty Relations
- Most Faculties - experienced staff member responsible to provide assistance

What are the Criteria used to decide Promotion Tenure and Continuing status?

Sufficiently strong record of performance in:

- Teaching (3.2.1; *Academic Responsibilities* 2)
- may include material deemed by candidate to be relevant
- evidence of teaching effectiveness such as peer reviews of teaching, as well as student experience in the classroom as reflected by data from Student Questionnaires on Courses and Teaching (SQCT's) for all courses taught by the Member, where available
- shall include consideration of a Member's submission in the File that speaks to accomplishments in Teaching beyond student responses to questionnaires and/or factors that may bias such student responses

Sufficiently strong record of performance in:

Research [3.2.2; *Academic Responsibilities* 3 – 5 f)]

may include material deemed by candidate to be relevant including non-refereed articles, unpublished documents, work in progress, creative works

note: basis is “established” record so outcomes of Research activities not peer-reviewed will be weighted accordingly – may include Research prior to joining Western
(3.2.2.1)

Service (3.2.3; 4.3.1.1, *Academic Responsibilities* 6,7)

administrative committee work, or other forms of significant Service which contribute to the University's functions.

Promotion to Professor where candidate has had significant Service Workload:
Standard for Teaching and Research unchanged, but recognition that time taken to achieve the required record may have been longer

What is the Significance Attributed to each Area?

Criteria and relevant significance stated in Letter of Appointment (4.2, *Appointments* 6)

Normally:

- Teaching and Research – approximately equal
- Service – less than Teaching and Research
- 40/40/20 balance is the norm
- Alternative Workload, Reduced Workload may alter this balance (see respective Articles)

How can I best demonstrate my academic value to Western in my dossier?

Required Contents [7.3 – 7.4 g)]

- 7.3 contents - maintained by Dean, or designate, of Home Faculty
- 7.4 contents – candidate carries responsibility for providing items, except public solicitation and referee letters (Research statement provided by FM)

Provide representative evidence of your established performance in Teaching, Research and Service (4)

Am I allowed to provide an explanation of my work?

Written statement for File (optional) [7.4 f)]

- especially important for those with more than one disciplinary area (e.g., joint appointees)
- should be brief (e.g., two pages, if possible)

Written statement for external referees (optional) [7.4 e) (vi)]

Teaching Dossier Policy indicates maximum page limit of **35**, including maximum **20** pages of appendices

- The [Center for Teaching and Learning](#) provides helpful guidelines
 - consider condensing into one-page charts or graphs, where possible
 - your teaching philosophy statement is an important item
- Centre for Teaching and Learning offers mentoring sessions on [constructing a Teaching Dossier](#)

Annual Review Meetings

How important are these?

VERY IMPORTANT

Purpose is to: [6.1]

- allow the Member to satisfy themselves that they understand the expectations for meeting the criteria for tenure
- address the Member's progress in generating a record of performance in each of Teaching, Research and Service sufficient to meet the criteria for promotion, tenure and continuing status
- discuss the Probationary member's Annual Performance Evaluation, while recognizing that the criteria for APE are separate and distinct from the criteria for P&T

What else will be discussed?

- Letter of Appointment outlining expectations for meeting the criteria
 - copy inserted in Promotion and/or Tenure File [4.2, 7.3 b)]
- Annual Performance Evaluation (see *Annual Performance Evaluation* article) (5.1)
 - APE and P&T Processes are separate and distinct
 - APE assessments may not be predictive of success in promotion/tenure.

What else will be discussed?

Extenuating Circumstances

- Where the Member has experienced extenuating circumstances which require accommodation under the *Ontario Human Rights Code*, and which have limited the Member's ability to fully perform the duties of his or her position for a prolonged period such that progress toward tenure is materially jeopardized, the Member may request the Employer consider granting an extension to the Member's probationary Appointment. [16.7.2]
- This must happen as early as possible and evidence of need for accommodation must be provided

COVID-19 Extension

We are aware that probationary faculty members may be dealing with challenges with respect to their Teaching, Research and Service under the current COVID-19 situation.

As a result, probationary faculty members may request a one-year extension to their probationary appointment due to extenuating circumstances related to COVID-19.

- Members shall make requests for an extension to their Deans, in writing, no later than **December 31, 2020**. Each request received will be approved.
- Despite the extension granted, should probationary faculty members wish to be considered for promotion and tenure in what would have been the final year of their appointment, this option will remain available to them following the process outlined in clause 16.7.1

Will I have someone with me?

You are welcome to bring along an Academic Colleague or person appointed by the Association (6.1.1) where the Dean has been notified in advance

Ask questions. Be involved.

Are there minutes taken at these meetings?

- Written report provided by Dean, or designate (6.1.2 – 6.1.3) - will be added to the File
- Your written response, if required - will be added to the File (6.1.4)

When will I be considered for Promotion, Tenure or Continuing Appointment?

- **Probationary Assistant Professor** - normally considered in 6th year (16.4)
- **Probationary Associate Professor** - normally considered in 3rd year (16.2; Appointments 4.1)
- **Limited-Term Assistant** may apply in or after 5th year for Promotion (16.4.2)

An automatic one year extension is provided if an approved leave of at least 24 weeks has been taken(e.g. Pregnancy/Parental, medical) but you can opt to come forward early

A one year extension is provided if requested by **December 31, 2020** on account of the impact of Covid-19 pandemic but you can opt to come forward early

Are there other means of early review?

- Dean may initiate:
 - Probationary - following consultation by March 31 with P&T Committee (16)
 - Limited-Term –following consultation with Chair/Director and P&T Committee by next March 31 (16, 16.5.1)

Continued...

- Probationary Assistant:
 - with outstanding record in Teaching and Research may request early consideration in 4th year (16.4)
 - must request in writing by March 31 of 3rd year
- Limited-Term Assistant:
 - with outstanding record in Teaching and Research may request consideration in 3rd year (16.4.2)
 - must request in writing by March 31 of year before consideration

What are my obligations with respect to external referees?

Provide a list of possible referees – must be sent to Dean

- describe qualifications and any prior interactions [7.4 e) (ii)]
- Referee rank must be at least that to which candidate is being promoted to [7.4 e) (ii)]

If Dean adds names, you may object in writing, to any addition

- objection will be included in the file [7.4 e) (ii)]
- objection will be shown to Committee [7.4 e) (ii)]

How many names should I provide?

- Provide at least 12 names of possible “arm’s length” external referees
 - where possible, the number on the list should be at least three times the number of referees to be chosen, or if joint, three times the number of referees for each discipline [7.4 e) (ii); 7.4 e) (iv)]
- Practice varies across Faculties:
 - confirm number at your Annual meeting before File is considered

Continued...

Collect names of potential referees as you go, for example:

- when attending conferences
- when reading the literature
- ask mentors for names of established scholars who have expertise in your discipline(s)

What does “arm’s length” mean?

Someone who can assess your work but ensure there is no apprehension of bias. Avoid, for example:

- member of Western
- relative or close personal friend
- former graduate school teacher
- thesis advisor or examiner
- present or former student
- present or former co-worker
- co-author
- grant collaborator

How many external referees are selected from the list?

- At least three arm's length external referees
 - solicited by Dean
 - asked to assess your Research in relation to whether it meets the criteria for tenure [7.4 e)]
 - their written opinions will be included in the File [7.4 e)]
- Practice differs across Faculties

How is my performance reviewed?

- External Referees:
 - The referees have expertise in your discipline(s) and provide their assessments of your performance in Research [7.4 e)]
- Promotion and Tenure Committee

Continued

P&T Committee Membership in Faculties with Departments/Schools (8)

- Dean or designate
 - chairs Committee – voice with no vote except to break tie
- Chair/Director
- 3 Tenured FTMs of Unit
 - elected by FTMs of Unit
- 1 Tenured FTM from Faculty not in Unit
 - elected by Members on Faculty Council
- 2 Tenured FTMs not appointed in Faculty with P&T Committee experience within last 5 years
 - elected by Members on Faculty Council

Continued...

P&T Committee in Faculties WITHOUT Departments/Schools (9)

- Dean or designate
 - chairs Committee with voice but no vote except to break tie
- 4 Tenured FTMs of Faculty
 - elected by Members on Faculty Council
- 3 Tenured FTMs not appointed in Faculty with P&T Committee experience within last 5 years
 - elected by Members on Faculty Council

Continued...

P&T Committee for Joint Appointees (10)

- Dean of Home Unit or designate
 - chairs Committee but no vote except to break tie
- Dean of non-Home Unit or designate
 - Voice but no vote
- 2 Unit heads
 - Chair/Director or Dean/designate
- 3 members from each P&T Committee one of whom is not appointed in the Faculty
 - elected by members of the Committee

Continued...

Conflict of Interest

- an actual or apparent conflict of interest “that is of sufficient seriousness to compromise the integrity of a decision-making process” may arise between a P&T Committee member and a candidate
 - Committee member must disclose to Dean and Dean shall adjudicate (*Conflict of Interest and Conflict of Commitment, 3*)
 - Another person with knowledge may disclose to Dean before decision is made and Dean shall adjudicate (*Conflict of Interest and Conflict of Commitment, 3*)

Continued

What does my P&T Committee evaluate?

- The P&T Committee:
 - reviews the entire File which you have signed off [7.4 g) – 7.4.1.1]
 - evaluates whether or not you have established a sufficiently strong record of performance (17)
 - ensures a uniformly high standard across the University (17)
 - deliberates and arrives at a recommendation (15.3)
 - votes on the Committee's recommendation (15.3)

Continued

Who else evaluates my work?

- The Dean:
 - The Dean or designate who chairs the Promotion and Tenure Committee, will make a separate recommendation (18)
- The Provost:
 - The Provost will review the File, consider the recommendations from the Committee and Dean, and make a final decision. The Provost may consult with the Vice-Provost (APPF) or the VP, Research and such consultations is documented to the file (19 -20)

What happens if the P&T Committee or Dean has questions or concerns about the record?

- The Committee or Dean may ask you to supply additional information
 - You have two weeks to provide the additional information from the date of the request
 - A copy of request and your response will become part of the File (17.1)
 - You may seek support of Academic Colleague or UWOFA representative (17.1)

What if Committee is considering a negative recommendation?

- The Committee will:
 - provide a written statement of concerns (17.1.1)
 - statement of concerns will be added to the File
 - invite you to a consultation meeting (17.1)
 - Must occur within two weeks of the request, subject to extension for extraordinary circumstances
 - you may request an Academic Colleague or UWOFA Representative attend (17.1, 17.1.3)
 - provide time for you to prepare additional material for submission at the consultation
 - additional information will be added to the File (17.1.4)

If, after hearing the Committee's concerns, I feel my tenure review will be Unsuccessful, what can I do?

- You may withdraw your File from consideration by the Committee at any time prior to the Committee's formulation of its recommendation (17.2 – 17.2.2)

What should I expect if the Provost has concerns?

- Provost may consult the Vice-Provost (APPF) or VP (Research) (19.1) and/or the Dean (19.2)
- If considered appropriate, Provost may return File to the Committee with a statement describing concerns
 - copy of concerns will be provided to you
 - you will have two weeks to provide any additional information to the Committee and the Provost (19.2)

What if the Provost is considering denial?

- File will be returned to Committee (19.3)
 - copy of concerns will be provided to you
 - you will have two weeks to provide any additional information to the Committee and the Provost (19.3)

What happens if the Provost denies tenure?

- Choose not to grieve
 - entitled to one-year Limited-Term extension or 50% of salary in lieu of appointment extension (20.3.1)
- Choose to grieve
 - if you and Association are of view grounds exist (19.4.1 – 19.4.5) (see also *Grievance and Arbitration* Article)
 - Access to comparator files in most recent 5 years (19.4.1)
 - For a grievance in the final year of probation, the appointment is extended to the end of academic term in which the Arbitrator's decision released (20.3)

Who do I contact if I have Questions?

- Office of Faculty Relations:
 - Ella Forbes-Chilibeck, Director, Office of Faculty Relations eforbesc@uwo.ca
 - Connie Zrini, Faculty Relations Consultant czrini@uwo.ca
 - Dirk Volschenk, Faculty Relations Consultant dvolsche@uwo.ca

Who do I contact if I have Questions?

- UWOFA
 - Chair, Grievance Committee
 - Kathleen Fraser, 85641 kfraser@uwo.ca
 - UWOFA Professional Officer
 - Cindy Cossar-Jones, 86960 uwofapro@uwo.ca

Checklist for your Promotion, Tenure and Continuing Status dossier

- ☐ Responses from Member, Dean(s) and Committee to Provost's Concerns (if applicable)
- ☐ Provost's Written Statement of Concerns (if applicable)
- ☐ Dean's Transmittal Letter to Provost
- ☐ Updated Table of Contents (at Dean's option)
- ☐ Dean's Recommendation with Reasons (both Deans, if Joint)
- ☐ Committee Recommendation with Reasons (including any notes under Clause 15.2.1)
- ☐ Additional documentation provided by Member at consultation, if required
- ☐ Request for Consultation, if required
- ☐ Additional Information provided by Member, if required
- ☐ Request for Additional Information, if required
- ☐ Table of Contents (signed by Member and Dean, or designate)
- ☐ Updated Curriculum Vitae
- ☐ Written submission from candidate relevant to case (optional)
- ☐ Teaching Dossier
- ☐ Letters received from Public Solicitation on Member's performance
- ☐ Letters from External Referees
- ☐ Template of letter sent to External Referees, package contents list, Candidate's statement
- ☐ Signed List of Potential External Referees including any objection(s) from candidate
- ☐ Any arrangements under Collective Agreement (e.g., AWL, RR, Leaves)
- ☐ Dean's Written Report from April meetings plus Member's Response to Report, if applicable
- ☐ Copy of Curriculum Vitae provided with Annual Report unless updated by March 1
- ☐ Letter(s) of Appointment



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