

Promotion, Tenure and Continuing Status 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

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

Read and review the *Promotion, Tenure and Continuing Status* article of the CA

Attend information sessions like this one

Ask questions of multiple colleagues who have gone through the process – but be aware that there are myths and legends.

Who can I go to for help in preparing my file?

Dean, Chair, Director, colleagues, mentors, Faculty Association, Faculty Relations

Most Faculties have an experienced staff member responsible for providing assistance

The *Promotion, Tenure and Continuing Status* Article applies to:

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

What are the Criteria used to decide Promotion to Associate Professor?

Sufficiently strong record of performance in:

- Teaching [3; 3.1; 3.2.1; *Academic Responsibilities* 2]
- Research / Scholarship Activities [3; 3.1; 3.2.2/3.1; 3.2.3 *Academic Responsibilities* 3-5] – based on established record of performance, not potential
- Service [3; 3.1; 3.2.4 *Academic Responsibilities* 6]

according to the national and international standards of the discipline

What is the Significance Attributed to each Area?

Criteria and relevant significance stated in Letter of Appointment [4.2; 5.2, *Appointments* 6]

- 40/40/20 balance is the norm for probationary/tenured appointment
- 60/20/20 balance is the norm for a probationary/continuing teaching scholar

Alternative Workload, Reduced Workload may alter this balance [see respective Articles]

What is the Significance Attributed to each Area?

- Performance in both Teaching and Research / Scholarship activities must be sufficiently strong to warrant granting Tenure and/or Promotion
- There must be a satisfactory record of Service, but a meritorious performance will not compensate for an insufficiently strong record elsewhere [4.1; 5.1]

What about work I did before I came to Western?

Whether and how Research/Scholarship activities carried out earlier will count must be stated in your Letter of Appointment [3.2.2.1].

Only applies to faculty who started after 2018.

What are the Criteria used to decide Promotion to Full Professor?

High Achievement:

- Sustain the record of performance in Teaching and Research / Scholarship activities required to warrant promotion to Associate Professor
- Establish a record of performance in at least one of these criteria that significantly surpasses that standard [4.3; 5.3]
- A significant record of performance in Service [4.3.1; 5.3.1]

Questions?

Annual Probationary Review Meetings

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 / Scholarship Activities and Service sufficient to meet the criteria for promotion, tenure and continuing status and provide advice as needed
- discuss the Probationary member's Performance Evaluation, while recognizing that the criteria for PE are separate and distinct from the criteria for P,T & CS

Annual Probationary Review Meetings

Must happen before April 30 each year.

Who attends: [6.1.1]

- The Member
- Dean or designate
- Department Chair / Director (if applicable)
- Academic colleague (at the Member's request)

This is your opportunity to ask questions and get guidance

Annual Probationary Review Meetings

What happens next:

- The Dean (or designate) provides a written report of the interview to the Member within 2 weeks, commenting on progress and offering advice, as necessary [6.1.2]
- The Member may respond in writing to anything in the report [6.1.4]
- The report (and response, if applicable) goes into the Member's P, T & CS file [6.1.2; 6.1.4]

Questions?

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

Probationary Assistant Professor - normally considered in 6th year [17.4]

Probationary Assistant Professor Teaching Scholar - normally considered in 6th year [17.4]

Probationary Associate Professor - normally considered in 3rd year [17.2; *Appointments* 4.1]

Limited-Term Assistant - may apply in or after 5th year for Promotion [17.4.2]

Are there options for early review?

- Dean may initiate at any time [17; 17.3; 17.5]
- Probationary Member or Limited Term Assistant may request in year 3 to go forward in year 4 [17.4; 17.4.2]

Are there options to delay review?

- An automatic one-year extension is provided if an approved leave of at least 24 weeks has been taken (e.g. Pregnancy/Parental, medical) [17.7]
- Some probationary faculty members requested and received an extension to their probationary appointment due to extenuating circumstances related to COVID-19.

In these cases, the Member may elect to go forward in what would have been their final year [17.7.1]

Are there options to delay review?

- Where the Member has experienced extenuating circumstances which require accommodation under the *Ontario Human Rights Code*, the Member may request the Employer consider granting an extension.
- This must happen as early as possible and evidence of need for accommodation must be provided. [17.7.2]

When will I be considered for Promotion to Full Professor?

- The Dean, in consultation with the department Chair, invites the Member to go forward [17.5]
- Member may request to go forward [17.6; 17.6.1]
- Three years must have elapsed since promotion to Associate [17.6]

What is the timeline?

- By the end of March the Dean reviews files
- Early summer: research dossier goes out for review
- Late summer / early fall: teaching dossier submitted, Member reviews and signs off on the file (at least one week before the Committee meets) [7.4]

What is the timeline?

- Committee reviews files for tenure / continuing status before promotion-only files [15.4]
- By November 1: Committee chair forwards recommendations to Provost re promotion and tenure / continuing status [19]
- By November 15: Committee chair forwards recommendations to Provost re promotion only
- Provost reviews files for tenure/continuing status in the order they are received and before promotion-only files

Questions?

What does a P,T & CS dossier contain?

Material maintained by the Dean: [7.3]

- Copy of the cv submitted with your annual report
- Letter of Appointment and any subsequent revisions
- Reports from annual meetings (for probationary faculty)
- Any documentation regarding changes to workload

What does a P,T & CS dossier contain?

Material provided for the purposes of promotion: [7.4]

- An updated cv
- Teaching dossier
- Research / Scholarship Activities statement
- Any written submissions you think are relevant
- Letters from public solicitation
- Letters from at least 3 arms-length external referees

FAQs re dossier contents:

Teaching Dossier

The Teaching Dossier must contain: [3.2.1]

- Any material deemed by the candidate to be relevant to the work of teaching
- The Chair or Dean shall solicit the written opinions of current and former students and members of faculty
- Other evidence of effectiveness, e.g., peer evaluation
- Evidence from SQCTs:
 - must include class size; response rates, and the distribution of ratings
 - may include your comments on the nature of the course
 - must not include arithmetic averages

FAQs re dossier contents: Teaching Dossier

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

The [Center for Teaching and Learning](#) provides helpful guidelines and offers mentoring sessions.

- consider condensing SQCT information into one-page charts or graphs, where possible
- your teaching philosophy statement is an important (but not required) item

FAQs re dossier contents:

Research / Scholarship Activities record

Research / Scholarship Activities statement – helpful in contextualizing your trajectory

Research record: anything you deem relevant

- May include non-peer-reviewed and unpublished, but such material shall be weighted accordingly [3.2.2]

FAQs re dossier contents: Letters from public solicitation

- Every unit posts a public solicitation in the early summer – response rates vary significantly
- Some Chairs / Deans write directly to specific students to solicit letters

All letters are anonymous unless the writer explicitly gives permission for their name to be shared

FAQs re dossier contents:

External Referees

- Letters from at least 3 arms-length external referees – can be more [7.4 e]
- You provide the list of names, with qualifications and any previous contact with them
- You may divide the list into up to 3 disciplinary areas
- The Dean can add names, but you can object
- Referees must be at the rank that you will be promoted to

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

FAQs re dossier contents

Any written submissions you think are relevant

FAQs re dossier contents

You will see and sign off on everything in your promotion dossier

You have a right to a copy of everything in the file – letters will be anonymized [7.5]

Questions?

Who will be on my committee?

Dean or designate chairs the committee

Faculties with Departments: [8]

- Chair of the department
- 3 tenured members of the department
- 1 tenured member of the Faculty outside the department
- 2 tenured members outside the Faculty
- 1 Continuing Teaching Scholar from the department, where possible (for CTS files)
- One member of the committee will be the designated Equity Representative

Who will be on my committee?

Dean or designate chairs the committee

Faculties without Departments: [9]

- 4 tenured members of the Faculty
- 3 tenured members outside the Faculty
- 1 Continuing Teaching Scholar from the department, where possible (for CTS files)
- One member of the committee will be the designated Equity Representative

Who will be on my committee: Joint Appointments

Dean of Home Unit (or designate) chairs the committee [10]

- 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 & CS Committee, one of whom is not appointed in that Faculty
- One member of the committee will be the designated Equity Representative

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 & CS 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*]

What does the P,T & CS Committee evaluate?

The Committee:

- reviews the entire File which you have signed off
- evaluates whether or not you have established a sufficiently strong record of performance [18]
- ensures a uniformly high standard across the University [18]
- deliberates and arrives at a recommendation [16.3]
- votes on the Committee's recommendation [16.3]

Who else evaluates my work?

- The Dean (or designate) who chairs the P,T & CS Committee will make a separate recommendation [19]
- The Provost will review the File, consider the recommendations from the Committee and Dean, and make a final decision.

Questions?

What happens if the P,T &CS Committee or Dean has questions or concerns?

The Committee or Dean may ask you to supply additional information: [18.1]

- You have two weeks from the date of the request to provide the additional information
- A copy of the request and your response will become part of the File
- You may seek the support of an Academic Colleague or a UWOFA representative

What if the Committee is considering a negative recommendation?

The Committee will:

- provide a written statement of concerns which will be added to the File [18.1.1]
- invite you to a consultation meeting to discuss those concerns [18.1.1]

The meeting must occur within two weeks of the request, subject to an extension for extraordinary circumstances

You may request an Academic Colleague or a UWOFA Representative attend with you [18.1.3]

You may provide additional information, which will be added to the File [18.1.4]

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 [18.2 – 18.2.2]

What should I expect if the Provost has concerns?

The Provost may consult the Vice-Provost (APPF) or Vice-President (Research) [20.1] and/or the Dean [20.2]

The Provost may return File to the Committee with a statement describing concerns

- A copy of the concerns will be provided to you
- You will have two weeks to provide any additional information to the Committee [20.2]
- The Committee chair will forward their response and the response of the Committee to the Provost

What if the Provost is considering denial?

The File will be returned to Committee [20.3]

- A copy of the concerns will be provided to you
- You will have two weeks to provide any additional information to the Committee [20.3]
- The Committee chair will forward their response and the response of the Committee to the Provost

What happens if the Member withdraws their file?

Probationary Member who went for review early:

- File continues and the Member can go forward again in the last year of their contract

Probationary Member in the last year of their contract:

- Employment will cease at the end of the Probationary appointment [18.2.2]

Tenured/Continuing Associate:

- May request re-consideration no earlier than 3 years after this request [18.2.1]

What happens if the Provost denies tenure?

Probationary Member who went for review early:

- File continues and the Member can go forward again in the last year of their contract [21.1]

Probationary Member in the last year of their contract:

- If a grievance of the decision is pending beyond the end of the appointment, the appointment will be extended at least until the Arbitrator's decision [21.3]
- If there is no grievance, they are entitled to a one-year LT extension, or 50% of annual salary in lieu [21.3.1]

Who do I contact if I have questions?

Office of Faculty Relations:

Robert Monti, Director, Office of Faculty Relations

rmonti@uwo.ca

Connie Zrini, Associate Director, Office of Faculty Relations

czrini@uwo.ca

Diane Servos, Faculty Relations Consultant

dservos2@uwo.ca

Who do I contact if I have questions?

UWOFA:

Member Services Officers:

uwofamso@uwo.ca

Chair, Grievance Committee:

Steven Laviolette

Questions?

Your Promotion, Tenure and Continuing Status dossier

Contents at submission:

- ☐ Table of Contents [signed by Member and Dean, or designate]
- ☐ Dean's Transmittal Letter to Provost
- ☐ Dean's Recommendation with Reasons [if Joint, non-home dean may write separate letter]
- ☐ Committee Recommendation with Reasons [including any notes under Clause 16.2.1]
- ☐ Updated Curriculum Vitae
- ☐ Research Statement [optional]
- ☐ Teaching Dossier
- ☐ Letters received from Public Solicitation on Member's performance [separated into student/peer]
- ☐ Letters from External Referees
- ☐ Signed List of Potential External Referees including any objection[s] from candidate
- ☐ Template of letter sent to External Referees, package contents list, Candidate's statement
- ☐ Letter[s] of Appointment
- ☐ Any arrangements under Collective Agreement [e.g., AWL, RWL, 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

Additional Consultation Contents:

- ☐ Request for Additional Information, if required
- ☐ Additional Information provided by Member, if required
- ☐ Request for Consultation, if required
- ☐ Additional documentation provided by Member at Consultation, if required
- ☐ Provost's Written Statement of Concerns, if required
- ☐ Responses from Member, Dean[s] and Committee to Provost's Concerns, if required



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