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# TENURE AND PROMOTION INFORMATION SESSION

June 4, 2018

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## TENURE AND PROMOTION WORKSHOP

Monday – June 4, 2018

Time: 9:00am

AGENDA

Location: OL 127

### 1. WELCOME

### 2. OVERVIEW OF PROCESS

- The Basics of Tenure and Promotion: *Principles and Essential Features of Standards Documents* (October 2007) (D Petri)
- The Division, Faculty or School Tenure and Promotion Committee (T. Friedman)
  - The Role of the Chair
  - Membership
  - Criteria for Making a Recommendation
  - Duties and Responsibilities
- The Senate Tenure and Promotion Committee (D Petri)
  - The Role of the Chair
  - Membership
  - Criteria for Making a Recommendation
- Time Lines for Tenure and Promotion Applications and Recommendations (T Friedman)
- Checklist and Guidelines: What Applicants Need to Submit and How They Should Present Their Portfolios (D Petri)
- Selection of External Reviewers (D Petri)
- Conflict of Interest and the Arm's Length Concept (T Friedman)
- Collective Agreement Articles Relevant to Tenure and Promotion (T Friedman and D Petri)

### 3. QUESTION AND ANSWER SESSION

# **Principles and Essential Features of Standards Documents**

Senate Committee on Promotion, Tenure and Faculty Standards

October 2007

## **Preamble**

The purpose of this document is to provide guidance to departments, Faculties, Schools and Divisions in finalizing their respective standards documents. The members of the Senate Committee on Promotion, Tenure and Faculty Standards (PTFSC) have unanimously agreed to the principles outlined below.

These principles and essential features of departmental standards documents are to address the issue of appraisal, defined as a process that provides an evaluation of a faculty member's overall performance, and allowing informed decisions to be made for promotion and tenure purposes.

Achieving tenure and promotion through the ranks is based on incremental and accumulative growth of a faculty member in his/her teaching or professional role, and in service. To merit tenure or promotion, faculty members must be prepared to have their performance assessed against increasing expectations for effectiveness in teaching, recognized research, scholarly and creative work, and contributions to service within the university community as well as to the profession (locally, nationally and internationally).

Departmental standards for promotion and tenure should encourage faculty members to create a Promotion and Tenure Portfolio that describes the candidate's activities, achievements, and future plans in the categories of teaching, research, scholarship, creative or professional work, and service. This Portfolio should provide evidence, both quantitative and qualitative, of the candidate's performance.

Divisions with non-teaching faculty members should define professional practice in the context of their particular vocation or profession. Similarly, teaching faculty in the School of Trades and Technology should define the standards for professional skills performance in the context of their respective trades.

## **Principles**

The PTFSC recognizes that the quantitative standards for tenure and promotion, e.g., the number of publications required, vary from discipline to discipline and are different in our Faculties, Schools and Divisions. Therefore, the PTFSC strongly encourages departments to formulate standards using quantitative or qualitative methods depending on the nature of the department or discipline. Rather than merely emphasizing minimum quantitative requirements in the areas of teaching, research, scholarly or creative work, professional work and service, qualitative language should also be used where appropriate. For example, the significance of research, scholarly, creative or professional work should determine whether a candidate merits tenure or promotion, not simply a particular number of publications,

creative performances or professional contributions. While quantity and frequency of research or creative output is important, emphasis also needs to be placed on the quality and significance of one's work. The PTFSC expects that departmental standards indicate that the research, scholarly, creative or professional work of an Associate Professor must be recognized and assessed at a national level, and that of a Full Professor at an international level. Similarly, the teaching performance and professional contributions of Senior Lecturers have to be recognized and assessed at the national level, and that of a Principal Lecturer at an international level. Finally, tenure and promotion of non-teaching faculty members such as Coordinators, Counsellors, Librarians and Instructional Designers also have to be based on increasing recognition of the member's professional work at a local, national and ultimately international level.

### *Teaching*

Achieving tenure or promotion depends on documented evidence with respect to effective teaching. For example, the presentation of a teaching portfolio as described in the Collective Agreement should form part of the Tenure and Promotion Portfolio. Teaching effectiveness is an expression of competence in teaching and requires at the most basic level that faculty members keep current in their respective disciplines and thus contribute to the transfer of knowledge and skills reflecting the latest developments in their area of expertise. For the purpose of promotion, particular emphasis should be placed on faculty members' documented contributions to teaching innovation and on their demonstrated ability to assist students in reaching their educational goals. Student success should be recognized provided that a faculty member presents documented evidence of such success, e.g., demonstrating that the faculty member has a history of mentoring students with outcomes related to that mentoring. The supervision of undergraduate and graduate students can also be an important component of teaching duties for both bipartite and tripartite faculty and, if applicable, should be fully recognized for tenure and promotion consideration. For tripartite faculty for whom student supervision is linked to their research obligations, the effectiveness of their supervision of student research projects should be assessed both in terms of their role as sole supervisor or head of a supervisory team, and in terms of TRU's institutional goal of integrating teaching with research. For bipartite faculty who may participate in a supervisory team headed by a tripartite faculty member, the effectiveness of their supervisory duties should be assessed in terms of their ability to transfer knowledge and assist students in reaching their goals. Serving as an external examiner or co-supervisor of graduate students at other universities should also be recognized for the purpose of tenure and promotion. The PTFSC acknowledges that effective teaching is connected to faculty members' research, scholarly and creative work, professional work and service.

### *Research, Scholarship and Creative Work*

Research, scholarship or creative work is expected of all faculty members in tripartite appointments. As outlined above, it is important to assess faculty members' work both quantitatively and qualitatively. The most effective way to demonstrate the significance of one's work is through the process of arm's length peer review. Therefore, peer-reviewed dissemination of scholarly or creative work is an integral part of building a successful career as a tripartite faculty member. Faculty members

should also document that they have developed an ongoing plan of research, scholarship or creative work. Such a plan facilitates the incremental and accumulative growth of a faculty member with respect to his/her research, scholarly or creative work and reflects increasing performance expectations as an essential feature of the progression through the ranks.

### *Service*

Both bipartite and tripartite faculty members have to be actively engaged in collegial and professional service in order to achieve tenure and promotion. Attending departmental meetings is a service contribution expected of all faculty members as part of their basic duties and responsibilities. In itself it does not constitute sufficient service. Service for the purpose of tenure and promotion must reach beyond just attending departmental meetings and includes contributions to the internal TRU community as well as to the community and profession external to the university. For tenure and promotion, faculty members must provide evidence of service contributions. A strong service component of a Tenure and Promotion Portfolio includes an appropriate mix of contributions to the collegial self-governance of the university, discipline- related or professional contributions to regional, provincial, national and international communities and participation in provincial, national or international service groups, academic, professional and volunteer organizations.

### **Essential Features of Departmental Standards Documents**

The following key features emerged from reviewing the initial set of submissions and after discussion of these draft standards documents by the Committee at its July meeting. The points listed below reflect the thoughts expressed in departmental submissions as well as the subsequent deliberations of the PTFSC.

### **Departmental Standards Documents should**

- 1) use Boyer's scholarship categories: Discovery (research), Integration (synthesis), Application and Engagement (practice), and Teaching (learning);
- 2) recognize the values articulated in TRU's strategic plan and acknowledge the service and professional activities that further the goals of the University and the Faculty Member's academic discipline;
- 3) express a commitment to strong performance in teaching, scholarship, creative work, professional work, and service;
- 4) assist faculty members in developing long-term career goals and objectives;
- 5) reflect national standards of their respective academic disciplines or professions in teaching, research, creative work, professional work and service;
- 6) articulate that the onus is on candidates to demonstrate that they merit tenure and/or promotion;

- 7) state that time served in a particular rank is in itself not a sufficient reason for promotion;
- 8) recognize that the demonstrable significance of a candidate's work in teaching, research, scholarship, creative or professional work, and service is an important criterion for tenure and promotion;
- 9) be transparent, consistent, achievable, and establish equally rigorous standards for bipartite and tripartite career paths;
- 10) clearly communicate to faculty members the expectations and benchmarks for tenure and promotion;
- 11) require that evidence of achievement in teaching, research, scholarly and/or creative work, professional work and service for the purpose of promotion demonstrates that the candidate has exceeded the performance level expected for the rank currently held; and
- 12) make explicit reference to Article 15.10 of the Collective Agreement (Criteria for Academic Designation, Tenure and Promotion) and to Article 15, Appendix 1, which outlines the lists of activities that "might be used to demonstrate the required level of competence in teaching."

**\*\*Please note:**

**For item 12) "Article 15.10" referenced is now Article 6.11, and "Article 15, Appendix 1" is now Article 6, Appendix I – it now outlines the list of activities that must be included and those that may be included.**

**"Senate Committee on Promotion, Tenure and faculty Standards (PTFSC)" is now the "Senate Tenure and Promotion Committee (STPC)"**

## Membership of the Division, Faculty or School

### Tenure and Promotion Committee (Article 6.5.1)

The Committee must consist of at least **five faculty members** holding designation equivalent or senior to that for which the faculty member is applying, plus the **non-voting Chair**, plus **one non-voting Faculty Association representative**.



#### **Chair**

The DFSTPC is chaired by the Dean/Director or his/her designate.

#### **Applicant's Discipline**

At least two Faculty members must be from the applicant's discipline.

#### **Cognate or Other Departments**

At least one Faculty member must be from a department other than that (those) in which the applicant holds an appointment or cross-appointments.

#### **Gender Balance**

The Dean/Designate shall try to achieve gender balance.

#### **Appropriate Designation**

If sufficient faculty holding appropriate designation and other qualifications are not available in the applicant's department or Faculty/School, the DFSTPC chair, in consultation with the Provost, shall include qualified faculty from other Faculties/Schools.

**Division, Faculty or School Tenure and Promotion Committee  
(DFSTPC) Duties and Responsibilities  
(Article 6)**

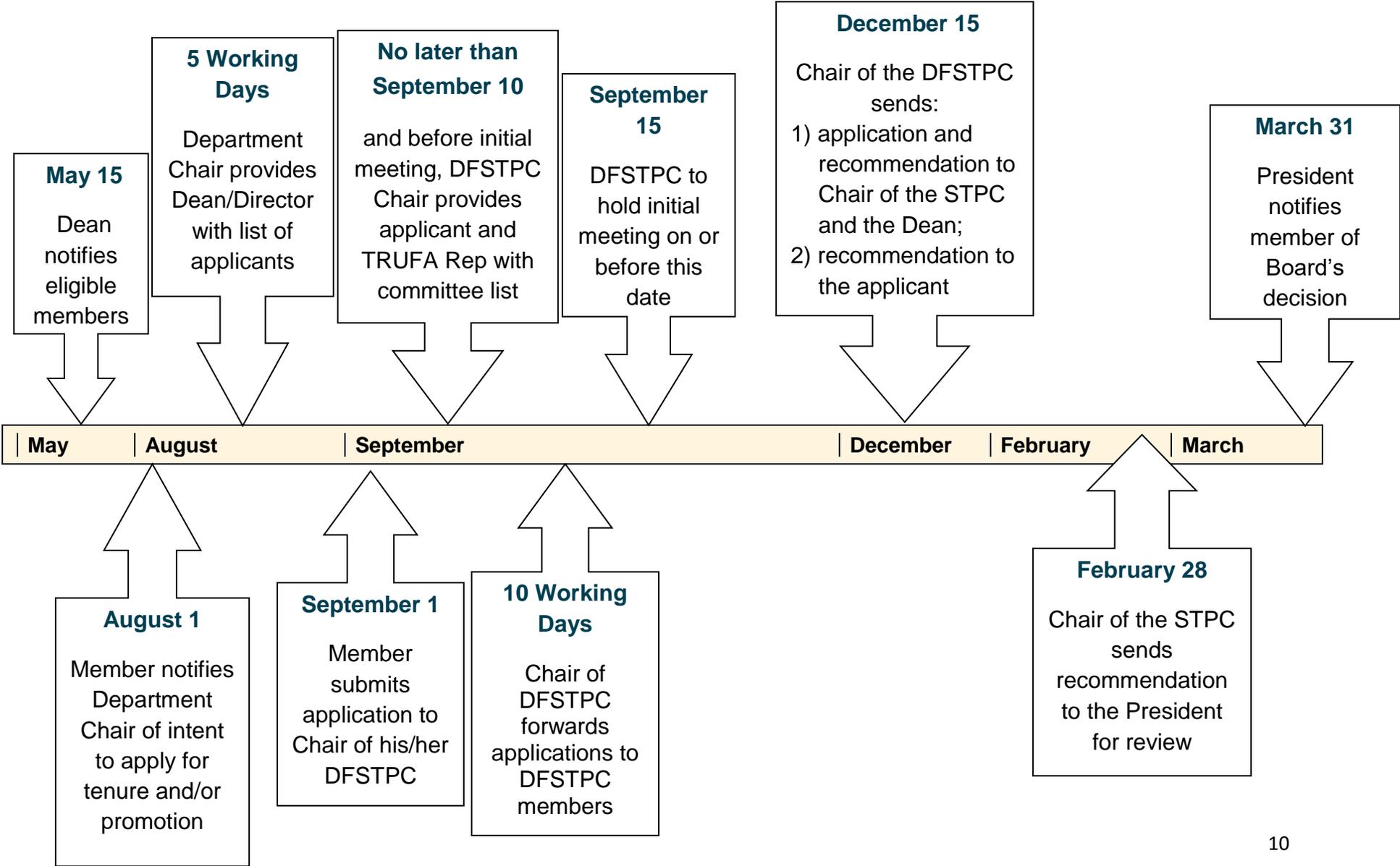
	September 1	Faculty members submit complete electronic application to Divisional Secretary and Chair of DFSTPC ensures each application is uploaded to a securely on Sharepoint <b>For 2018 the deadline for submission is September 4, 2018 by 4:30pm.</b>
	September 10	No later than September 10 <sup>th</sup> <b>and before</b> DFSTPC initial meeting, Chair of DFSTPC provides applicant and the TRUFA rep with list of members of committee (Article 6.5.2.1)
	Within 10 working days of Sept 1	Chair of DFSTPC forwards access to applications to committee members (Article 6.5.2)
	September	Chair of DFSTPC to provide committee members with a written copy of the discipline-specific standards by which the applicant's qualifications will be assessed (Article 6.5.2)
	September 15	Ensure that first meeting of the DFSTPC is held on or before September 15th (Article 6.5.1(e))
	September	Committee selects three (3) external reviewers for each applicant
	September	Contact potential external reviewers; provide external reviewers with the secure code to the applicant's file, the discipline-specific standards and other relevant material; request a response from the reviewer within 20 working days
	October and November	Hold DFSTPC meetings as needed; ensure appropriate membership is in place for each application (Article 6.5.1); invite applicants to the meeting at which their application/portfolio is discussed (Article 6.5.3.1)
	October and November	In case of an impending negative recommendation, inform the applicant in writing about areas in which the applicant may be deemed not to meet the required standards; invite the applicant to address the DFSTPC prior to any vote being taken (Article 6.5.3.3)
	December 15	Chair of DFSTPC forwards the: 1) Application, supporting documents, letters from external reviewers and DFSTPC approved report with recommendation for approval or denial of each applicant to the Chair of the STPC and the Dean (Article 6.5.4); and 2) approved report with recommendation for approval or denial of each applicant to the applicant (Article 6.5.4.1)
	January/ February	If the STPC recommendation is different, DFSTPC will conduct review of the application as requested by the STPC (Articles 6.7.1, 6.7.1.1, and 6.7.2)

## Senate Tenure and Promotion Committee Membership

### (Article 6.6.2)

Composition	Members	Term Ending
Provost & Vice-President Academic (or designate)	<b>Christine Bovis-Crossen</b> (CHAIR)	On-going
Associate Vice-President, Research & Grad Studies	<b>Will Garrett-Petts</b>	On-going
One tenured member from each Faculty / School / Division to be elected for a two-year term, half of whom are full professors	<b>Carol Rees</b> , Faculty of Education and Social Work	July 23, 2019
	<b>Avninder Gill</b> , School of Business & Economics	October 7, 2018
	<b>Elizabeth Rennie</b> , University Library	August 28, 2018
	<b>Vacant</b> , Faculty of Arts	
	<b>Roger Yu</b> , Faculty of Science	October 20, 2018
	<b>Mary Ann Mochizuki</b> , Faculty of Student Development	September 1, 2018
	<b>Tom Haag</b> , School of Trades & Technology	October 5, 2018
	<b>Chris Hunt</b> , Faculty of Law	September 13, 2019
	<b>Iain Stewart-Patterson</b> , Faculty of Adventure, Culinary Arts and Tourism	September 16, 2018
	<b>Joanne Jones</b> , School of Nursing	October 1, 2018
	<b>Vacant</b> , Open Learning Division	
Deans appointed by the Provost & Vice-President Academic (2)	<b>Airini</b> , Faculty of Education and Social Work <b>Vacant</b>	October 1, 2018
TRUFA Observer (non-voting) (1)	<b>Tom Friedman</b> , Faculty of Arts	Ongoing

**Timeline for Tenure and Promotion  
(Article 6.8 and others)**



## Checklist for Tenure and/or Promotion Application (Articles 6.4.1 and 6.4.2)

Be familiar with your relevant Senate approved discipline-specific standards as you compile your application.

	<b>Letter of Application</b>	Submit an application letter for tenure and/or promotion to the Dean/Director and the DFSTPC chair.
	<b>Up-to-date Curriculum Vitae</b>	Ensure your curriculum vitae is current and comprehensive; use proper citation for scholarly and creative work
	<b>Teaching or Professional Role Dossier</b>	Consult <b>Article 6, Appendix 1 for <u>mandatory</u></b> and optional items to be included in your dossier
	<b>Service Dossier</b>	Document your internal and external service contributions
	<b>Scholarly/Research and/or Creative Dossier</b>	Provide samples of scholarly work, publications, exhibitions etc.
	<b>Annual Professional Activity Reports</b>	Provide copies of your APARs for the last three (3) years (minimum)
	<b>Other Documentation</b>	Provide any additional documented evidence that you consider relevant to meeting your discipline-specific tenure or promotion criteria
	<b>List of Potential Reviewers</b>	Submit a list of potential external reviewers ( <b>minimum six</b> ) to the Chair of the DFSTPC; reviewers must be suitably qualified, at arm's length from the candidate and capable of making an assessment; inform the Chair of the DFSTPC in writing of the nature of your previous or current relationship with each potential reviewer

Note: You must provide the DFSTPC (Division, Faculty or School Tenure and Promotion Committee) with sufficient information for the Committee to evaluate your application and to make a recommendation based on the relevant discipline-specific tenure and/or promotion criteria.

## **Tenure and Promotion Portfolio Submission Guidelines**

Applications for tenure and/or promotion are to be available electronically for review by the respective Division, Faculty or School Tenure and Promotion Committee (DFSTPC), external reviewers, and the Senate Tenure and Promotion Committee.

The portfolio should be clearly separated into identifiable electronic folders. All files must be in pdf format. Applicants should save their portfolios to a disk, flash drive or a location on their hard drive. The faculty member will submit his/her portfolio to the DFSTPC Chair by September 1 (**for 2018 the date is September 4 and by 4:30pm, end of working day**). The DFSTPC Chair will ensure the portfolio is securely uploaded to Sharepoint.

As the web loads the folders in alphabetical order, applicants have to name them as follows:

### **A\_Application Letter**

### **B\_Curriculum Vitae**

### **C\_Annual Professional Activity Reports**

### **D\_Teaching or Professional Dossier**

This folder will contain course outlines, teaching evaluations, etc.; see Article 6, Appendix 1 of the Collective Agreement for a complete list; documentation regarding professional accomplishments etc.

### **E\_Service Dossier**

### **F\_Scholarly/Research/Creative Dossier**

This dossier is required for applicants in a tripartite appointment — The folder will contain copies of scholarly work accepted or submitted for publication or other means of dissemination, i.e. books, articles; creative works, such as performances, exhibitions and projects; grants and awards received, etc.

### **G\_Other**

This folder, if applicable, should contain any other materials relevant to the departmental tenure and/or promotion criteria.

When recommendation letters have been received from all external reviewers, they will be uploaded to the directory and the directory access will be changed for security purposes.

## External Reviewer Information (Article 6.4.2)

Candidates for tenure and/or promotion must submit a list of **at least six (6)** external reviewers. The following information about proposed external reviewers must be provided.

### Sample External Reviewer Form for Tenure and/or Promotion

Directions: All fields to be completed

<b>Name and Title(s):</b>	
<b>Institutional or Professional Affiliation:</b>	
<b>Business Address:</b>	
<b>Phone Number:</b>	<b>Email Address:</b>
<b>Brief description of credentials, including major accomplishments</b> (e.g. fellowships in societies, editorships, endowed chairs held, offices held in academic or professional organizations, teaching awards received, major pedagogical and/or professional achievements)	
<b>Confirm arm's length status of the reviewer; reviewer's relationship to the candidate must be disclosed if it could be viewed as creating a conflict of interest or a perception of bias</b> (e.g. classmate, personal friend, graduate instructor, dissertation committee member, co-author, or co-investigator)	

## **Tenure and Promotion Guidelines**

### **“Arm’s Length” Status re: External Reviewers**

Article 6.4.2 of the TRU/TRUFA collective agreement stipulates that potential external reviewers be “suitably qualified, at arm’s length from the candidate, capable of making an assessment and external to the University.”

The purpose of this document is to provide guidelines so that candidates applying for tenure and/or promotion can determine whether or not potential external reviewers are at “arm’s length” according to the collective agreement.

Arm’s length does not mean that the reviewer must never have met or even heard of the candidate. It does mean that reviewers should not be chosen who are likely, or perceived to be likely, to be predisposed, positively or negatively, about the application. What must be avoided in all cases are actual or perceived conflicts of interest or bias.

First of all, individuals with any familial, personal or financial relationship with the candidate—either currently or in the past—are deemed to have a conflict of interest and are, therefore, incapable of rendering an objective judgment on the candidate’s portfolio. Family members, including those in one’s immediate family, current and former spouses, current and former domestic partners, and close personal friends must be excluded from serving as external reviewers. In addition, any actual or perceived personal conflict with the candidate, no matter than family relationship, should automatically be grounds for exclusion from the reviewer role.

In the case of individuals with whom the candidate has had a professional relationship, the determination of “arm’s length” status is more of a challenge. The principle to keep in mind is that objective assessment of the candidate’s portfolio requires that the reviewer not have any professional stake or interest in the success or failure of the tenure/promotion application. A suitably disinterested reviewer will be one whose own professional work or reputation is not directly connected to the candidate or to the candidate’s work being evaluated.

Any professional colleague, therefore, who is involved in specific kinds of professional relationship with the candidate, particularly those which rely on close collaboration, cannot be considered to be at “arm’s length.” However, other types of professional involvement with the candidate may not violate the arm’s length status.

Examples of professional involvement that may NOT violate arm’s length status involves cases in which the candidate:

- Appeared on a panel at a conference with the proposed reviewer
- Served on a granting council selection panel with the proposed reviewer
- Authored an article in a journal or a chapter in a book edited by the proposed reviewer
- Served on a graduate dissertation examination committee with the proposed reviewer

- Presented a guest lecture at the proposed reviewer's university
- Served as an anonymous reviewer for publication of a manuscript written by the proposed reviewer
- Invited to present a paper at a conference organized by the proposed reviewer's department or university

Examples of professional relationships that may violate arm's length status include cases in which the proposed reviewer has:

- acted in any major supervisory role when the candidate was a student, including research supervisor or dissertation supervisor
- acted in an administrative role such as department head or Dean while the candidate was a faculty member in that academic unit
- collaborated directly with the candidate in conducting research or team-teaching
- co-authored published work with the candidate
- previously been a member of the candidate's department

Some existing guidelines, including those of the Ontario Universities Council on Quality Assurance, and the NSERC Peer Review Manual, recognize that some professional relationships between reviewer and candidate may be permitted if sufficient time has elapsed. While viewing "ongoing" or "current" or "regular" professional collaboration as clearly violating arm's length status, these guidelines do allow for significant professional ties between reviewer and candidate if at least six or seven years of non-collaboration has occurred before the tenure/promotion application. For example, the NSERC Peer Review Manual states that

*To avoid any conflict of interest, a reviewer should not:*

- *have been a research supervisor or graduate student of the applicant within the past six years;*
- *have collaborated with the applicant within the past six years, or have plans to collaborate with them in the immediate future;*

The Ontario Universities Council on Quality Assurance guidelines state that a candidate being a "co-author or research collaborator with [the proposed reviewer] more than seven years ago" may not violate the arm's length requirement. With information and examples from the following sources:

**NSERC 2017 – 2018 Peer Review Manual**

[http://www.nserc-crsng.gc.ca/doc/Reviewers-Examineurs/CompleteManual-ManualEvalComple\\_t\\_eng.pdf](http://www.nserc-crsng.gc.ca/doc/Reviewers-Examineurs/CompleteManual-ManualEvalComple_t_eng.pdf)

**The Ontario Universities Council on Quality Assurance**

<http://www.cou.on.ca/related-sites/the-ontario-universities-council-on-quality-assura/policies/quality-assurance-framework---guide.aspx>

**Conflict of Interest and Confidentiality Agreement for Review Committee Members, External Reviewers, and Observers**

[http://www.science.gc.ca/eic/site/063.nsf/vwapj/Agreement2.pdf/\\$FILE/Agreement2.pdf](http://www.science.gc.ca/eic/site/063.nsf/vwapj/Agreement2.pdf/$FILE/Agreement2.pdf)

## Collective Agreement Articles Relevant to Tenure and Promotion

<b>Article 5 — Appointment of Members</b>	
5.1.1	Ranks — Tripartite appointments
5.1.2	Ranks — Bipartite appointments
5.2.1	Tenure-Track Appointment
5.2.3.1	Tenured Appointment
<b>Article 6 — Tenure and Promotion of Members</b>	
6.1	Tenure / Promotion Definitions
6.2	Progression to Tenure
6.3	Progression to Promotion in Rank
6.4	Application for Tenure and/or Promotion
6.5	Procedures of the Division/Faculty/School T& P Committee
6.6	Procedures of the Senate T & P Committee
6.7	Action Subsequent to Voting
6.8	Timeline for Tenure and Promotion Process
6.9	University Appeals Committee
6.9.5	University Appeals Committee Process
6.10	Annual Report of Decisions on Tenure and Promotion
6.11	Criteria for Rank, Tenure and Promotion
6.11.5	Definitions of Categories
6.11.5.1	Teaching
6.11.5.2	Professional Roles
6.11.5.3	Scholarship
6.11.5.4	Service
6.11.6	Granting of Tenure
6.11.7	Rank
6.11.7.1	Assistant Professor/Lecturer/Librarian I/Counsellor I/Instructional Support I
6.11.7.2	Associate Professor/Senior Lecturer/Librarian II/Counsellor II/Instructional Support II
6.11.7.3	Professor/Principal Lecturer/Librarian III/Counsellor III/Instructional Support III
Article 6 - Appendix 1	Teaching Dossier: Teaching Activities Teaching Activity Assessment
<b>Article 10 — Workload</b>	
10.2	Academic Duties and Responsibilities
<b>Appendix B – Letters of Understanding</b>	
LOU #22	Composition of the Senate T & P Committee Amendment
LOU signed March 2018	<b>All Peer Reviews and Course Evaluations submitted as per Article 6 – Appendix 1 must be completed within the 40 months prior to Sept.1.</b> All must be dated. For example: For T/P applications on September 1, 2018, “a minimum of three sets of course evaluations and three sets of peer observation data across a range of courses, if applicable, within the three-year period preceding the application (i.e. from May 1, 2015 through August 31, 2018).”