Tenure and Promotion

Staff Lunch & Learn Session
Agenda

1) Welcome and introductions
2) References (p. 3)
3) Deadlines in Policy 77 (p. 4)
4) Tenure and promotion committees (pp. 5-6)
5) Timing (when to apply) (pp. 7-9)
6) Tenure and promotion procedures (pp. 10-23)
7) Managing records (p. 24-27)
References

• The key document is Policy 77 – Tenure and Promotion of Faculty Members: https://uwaterloo.ca/secretariat/policies-procedures-guidelines/policy-77
• This presentation is a summary and doesn’t replace Policy 77.
• In this presentation, indications such as this one relate to section 5, paragraph 1 of Policy 77.

Other useful links:
• UTPC webpage: https://uwaterloo.ca/secretariat/committees-and-councils/university-tenure-and-promotion-committee-utpc
• UTPAC webpage: https://uwaterloo.ca/secretariat/committees-and-councils/university-tenure-and-promotion-advisory-committee-utpac
• Forms & Templates (faculty appointment; tenure and promotion): https://uwaterloo.ca/provost/forms-templates
• For information, contact araynard@uwaterloo.ca – X31894
May 1
- chair reports DTPC membership to the Dean and to the department’s tenured and probationary faculty
- chair invites those who wish to be considered for tenure or promotion to apply by June 1

June 1
- candidate applies to the department chair in writing
- then meets with the chair to discuss the procedures to be followed

July 1
- candidate shall submit:
  - a brief supporting the application for tenure or promotion
  - the names of at least three arms-length external referees who can assess her/his published work

Fall term - applications considered by the DTPC and FTPC
TENURE AND PROMOTION
COMMITTEES

DTPC
Makes positive or negative recommendations to FTPC

FTPC
Makes positive or negative recommendations to UTPC and President

UTPC
Makes positive or negative recommendations to President

President
Makes either positive or negative decisions.

Tribunal
(candidate can decide to appeal a negative decision of the President)

UTPAC
A representative of each Faculty is assigned onto a FTPC other than the one of their Faculty. UTPAC Chair appoints tribunal members and names the tribunal’s Chair.
<table>
<thead>
<tr>
<th>Department Tenure and Promotion Committee (DTPC)</th>
<th>Faculty Tenure and Promotion Committee (FTPC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chaired by the department chair</td>
<td>Chaired by the Dean</td>
</tr>
<tr>
<td>4 to 6 tenured faculty members</td>
<td>At least 5 tenured faculty members broadly representative of faculty program areas</td>
</tr>
<tr>
<td>Members are elected by the tenured and probationary faculty of the department</td>
<td>Members are elected by the tenured and probationary members of the faculty</td>
</tr>
<tr>
<td>Majority of members should be full professors</td>
<td>Majority of elected members shall be full professors</td>
</tr>
<tr>
<td>Dean may appoint a non-voting advisor</td>
<td>UTPAC member (advisory member)</td>
</tr>
<tr>
<td>FTPC members may not serve simultaneously on a DTPC in the same faculty</td>
<td>VPA&amp;P appoints an additional voting member from outside the faculty</td>
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TIMING (when to apply for tenure)

Tenure

• Application normally occurs during the second year of the second probationary term.

• Candidate may choose to postpone consideration until the third year (of the second probationary term).

• Early consideration for tenure: apply in 4th year (exceptional circumstances).

• Only possibility to reapply: when early tenure application ends; wait until final year of appointment (6th year).
Tenure Clock

July 1, 2013
(beginning of first probationary term)

July 1, 2014

July 1, 2015

July 1, 2016
(beginning of second probationary term)

July 1, 2017

July 1, 2018

Faculty member applies to chair by June 1, 2018 if chose to wait until third year of second probationary term. Must submit material by July 1, 2018.

Faculty member applies to chair by June 1, 2017 if wants to proceed in fifth year. Must submit material by July 1, 2017.

Possible early consideration for tenure (see p. 7)
TIMING (when to apply for promotion)

Promotion

• A tenured associate professor may apply in any year for promotion

• Unusual for promotion to occur prior to five years of full-time service in the rank of associate professor.

• If an application for promotion is unsuccessful, the candidate becomes eligible to reapply two years thereafter.
TENURE AND PROMOTION PROCEDURES

Application: The candidate informs the department chair in writing by June 1; meets with the chair to discuss the procedures to be followed

Candidate’s brief: By July 1, the candidate submits a brief supporting the application. Brief must include a curriculum vitae, copies of relevant scholarly work, a summary of the candidate’s contributions in scholarship, teaching and service, and any other relevant information the candidate feels may be useful

3 components to T&P files: scholarship, teaching and service

S. 6 (1)

S. 6 (2)
TENURE AND PROMOTION PROCEDURES

Annual Performance Reviews
• The chair provides the DTPC with copies of all written assessments made of the candidate within the department.

External referees
• Reference documents: https://uwaterloo.ca/secretariat/committees-and-councils/university-tenure-and-promotion-committee-utpc
• External opinions of a candidate’s scholarly contributions are sought in all tenure and promotion cases; normally at least three external reviews are obtained.
Tenure or promotion file

• All evidence considered by the DTPC, the FTPC or the President

• The DTPC assessment of the candidate’s performance in teaching, scholarship and service

• The outcome of deliberations by the DTPC, the FTPC and the President

• The numerical record of votes taken, plus any written statements, including reasons, by DTPC or FTPC members who do not agree with the majority recommendation
• If the file is provided to the candidate, it shall include all internal or external letters of assessment with the names of the authors and other identifying references deleted, unless the authors have expressly consented to being identified.

• Be careful to remove anything that could identify the referee, his/her institution or location (even reference such as “other European institutions”).
Procedures at the Department Level (DTPC)

DTPC is to:

• meet to consider all applications from the department
• prepare an assessment of each candidate’s performance in teaching, scholarship and service
• decide whether to recommend tenure or promotion [Note: recommend, not decide to grant]

This is what is to be completed by the end of the process.
• The assessment should set out the evidence considered, the criteria applied to the evidence, the evaluation of the candidate in each of the three areas and the emphasis placed on each area.

• The assessment that is provided to the FTPC should explain the discussion by the DTPC – how the success of the candidate in each area was viewed, any differing opinions offered, what matters were viewed as significant, the impact of the referees’ letters.
• If there are significant reservations, the candidate should be given an explanation of the concerns of the DTPC so that s/he can try to address them.

• The candidate has ten working days to provide her/his written response (including any relevant new evidence) to the chair for distribution to the DTPC. The candidate may also choose to appear before the DTPC and may choose to be accompanied by a UW academic colleague.
• The DTPC does not finalize its recommendation until the candidate has been given the opportunity to respond.
• It is after the candidate has been given the chance to submit a written response to the concerns expressed and to appear that the DTPC votes and finalizes its recommendation.
• The vote is to be by show of hands or secret ballot (Deans’ Council instruction June 2013).
• When the DTPC has completed its deliberations the chair does a letter to the candidate to advise of the outcome, but not the numerical record of the votes.

If the outcome is negative:
• The letter should include a brief explanation of the reasons.
• The chair gives the candidate an opportunity to withdraw the file (and should let the candidate know that the result of withdrawal is that the candidate will not be pursuing tenure at UW [cannot apply again].
• The file is forwarded to the Dean for consideration by the FTPC unless the candidate withdraws.
DTPC Memo (Deans’ Council, Nov. 25/09)

• Committee chair provides a copy to members. To acknowledge that s/he has received a copy, each member signs one master copy or emails the committee chair within two working days of distribution of the memo.

• Any committee member who does not agree with the majority recommendation may submit a signed statement setting out the reasons s/he disagrees to the committee chair within five working days of distribution of the memo. The committee chair will append any statement received to the memo.
DTPC Memo (Deans’ Council, Nov. 25/09)

• Statement on the memo/in the email: “I acknowledge that I received a copy of the memo setting out the discussion and recommendation of the committee. I am aware that, in the event I disagree with the majority recommendation, I have the opportunity to submit a signed statement with reasons for my disagreement. I am also aware that should I see the need, I have the opportunity to submit a signed clarification. Disagreements and clarifications must be submitted to the chair within 5 working days of distribution of the memo.”
Procedures at the Faculty Level (FTPC)

• Similar procedure to that of DTPCs.
• All files are forwarded to the President, unless the candidate withdraws.
Procedures at the President Level

The President

• The President considers all tenure or promotion recommendations forwarded by the FTPC, together with the advice of the UTPC.

• If the President decides in favour of promotion, he/she informs the candidate and reports the promotion to Senate (September) and the Board of Governors (October) for information.
Procedures at the President Level

• If the President supports the granting of tenure, he/she informs the candidate, recommends approval to the Board of Governors (April, letter from secretary of the university) and subsequently reports the granting of tenure to Senate for information (in September).

• If the President decides against tenure or promotion, he/she informs the candidate in writing with reasons. In the event of a negative tenure decision, the candidate’s appointment is extended as necessary to provide 12 months’ notice from the date the candidate is informed.

• If decision is negative, the candidate can choose to appeal. The tribunal’s decision is final.
Managing DTPC Records

Official records:

- When T&P files are forwarded to the FTPC: the forwarded file (paper) is the official record.
- When T&P files are not forwarded (i.e., the candidate withdraws): the official file is the DTPC file (paper) – retain as part of the candidate’s official employment file in the department (should be stored separately – must be redacted if the faculty member wants to see it).
Managing FTPC Records

Official records:

- When T&P files are forwarded to the President (c/o Secretariat): the forwarded file (paper) is the official record.

- When T&P files are not forwarded (i.e., the candidate withdraws): the official file is the FTPC file (paper) – retain as part of the candidate’s official employment file in the faculty (should be stored separately – must be redacted if the faculty member wants to see it).
List of Potential Referees

Policy 75 – Official Employment Files of Regular Faculty Members provides: the list of names from which referees were selected shall be included in the file (never identify who were the referees who provided an assessment).

Note: the Dean’s office should ensure the list is put in the candidate’s file.
Copies:

• The copy of the forwarded file is retained by the DTPC/FTPC
  chair/secretary – confidentially destroy once the final decision
  (including any appeal) has been rendered.

• Copies distributed to DTPC/FTPC members – confidentially destroy
  once the committee decision has been rendered – includes both paper
  and electronic copies. Best practice is to collect paper copies at the end
  of the final committee meeting.

• If using electronic copies of files, use a secure site such as SharePoint
  rather than distributing by email and delete once the committee’s
  decisions have been made. Ensure that any copies printed from the
  SharePoint site are also destroyed.

• Ask that members confirm destruction of both paper and electronic
  copies (by return of email to Chair).

For more information, see the HR38 – Tenure and Promotion retention
schedule and the webpage on Records Disposal and Destruction.