

## SCHEDULE “A”

# Policy 76 – Faculty Appointments

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Class: F

## 1. INTRODUCTION

This policy defines appointment categories (regular, research, visiting, adjunct, special), appointment types (tenured or permanent, probationary, definite-term) and appointment intensities (full-time, part-time, fractional load) for faculty appointments at the University of Waterloo. Hiring procedures for regular faculty appointments are described in Section 6.

Faculty appointments can be made in departments, schools, Faculties, or other academic units approved by the Board of Governors. The approval route is: department Chair, Faculty Dean, Vice-President Academic & Provost (VPA&P); new appointments with tenure also require approval of the Board of Governors. Faculty appointments are reported to Senate for information.

## 2. FACULTY APPOINTMENT CATEGORIES

### A. Regular Faculty Appointments

As of [IMPLEMENTATION DATE], Regular Faculty appointments are made in two mutually exclusive categories: Tenure Stream and Teaching Stream. The ranks in the Tenure Stream are: Assistant Professor, Associate Professor, and Professor. The ranks in the Teaching Stream are Assistant Professor, Teaching Stream; Associate Professor, Teaching Stream; and Professor, Teaching Stream. Additionally, there may remain Lecturers with permanence (Continuing Lecturers, see section 3D) appointed before [IMPLEMENTATION DATE]; these are also deemed Teaching Stream appointments. These seven titles, without additional qualifiers or with the qualifier “clinical”, are reserved for regular faculty appointments.

Definite-term appointments in the Tenure Stream may be made at the rank of Assistant Professor, Associate Professor, or Professor. Definite-term appointments in the Teaching Stream may be made at the rank of Assistant Professor, Teaching Stream; Associate Professor, Teaching Stream; or Professor, Teaching Stream. Definite-term appointments are intended to meet time-limited needs of an academic unit and are to be made with the explicit understanding that no commitment to any further appointment, whether definite-term, probationary, or tenured/permanent is implied (see 3.A). Examples of appropriate definite-term appointments, include, but are not limited to, replacing faculty members on extended leave, or who have been assigned duties outside the Department, or to serve in a Department where there are specific and time-limited Department workloads that do not require permanence or Tenure Stream appointments.

Definite-term appointments in the Teaching Stream are limited to teaching and service, and formal teaching duties are normally assigned in all three terms. Definite-term appointments in the Tenure Stream normally have duties in teaching, service, and scholarship; formal teaching duties are often assigned in all three terms.

When considering the creation of definite-term appointments, it is important to ensure that the duties involved are appropriate to the job category, whether Tenure Stream, Teaching Stream, or a professional staff appointment.

These appointments may be made on a full-time or fractional-load basis. Clinical faculty appointments can be made at all these ranks. Reference to faculty ranks in this policy include all regular faculty appointments, including clinical appointments, except where explicitly noted otherwise.

Faculty members in the Tenure Stream contribute to teaching, scholarship and service. Faculty members in the Teaching Stream contribute to teaching and service and do not normally have a scholarship weighting greater than zero. For further details, see Sections 2B and 2C, Tenure Stream Expectations and Teaching Stream Expectations.

Faculty members in the Tenure Stream are not eligible for transfer to the Teaching Stream without applying for and being appointed to an open position following standard hiring practices. Faculty members in the Teaching Stream are not eligible for transfer to the Tenure Stream without applying for and being appointed to an open position following standard hiring practices.

## **B. Tenure Stream Expectations**

Faculty members in the Tenure Stream contribute to all aspects of delivering on the University's mission: teaching, research and scholarship, and play the primary role in the University's efforts to deliver on its mission in research and scholarship. They also play an important role in the operation of the University through their service contributions. Regular full-time faculty in the Tenure Stream are normally assigned formal teaching duties in two of the three terms in which the University operates, but are expected to engage in scholarship, supervise students as required, and contribute to University service throughout the year. However, due to the close relationship between clinical practice and scholarly activity for clinical faculty, it is typical and appropriate for the clinical teaching duties for clinical faculty in the Tenure Stream to be spread over all three terms.

During a term for which formal teaching duties are not assigned, Tenure Stream faculty members are expected to increase their scholarly activity. In special circumstances, a faculty member and the department Chair may arrange a different assignment of responsibilities. Any such arrangement must be documented and must have the formal approval of the Faculty Dean.

Professorial rank is intended to reflect a faculty member's stature and record of accomplishment as a teacher and scholar. An Assistant Professor normally has a doctorate or terminal professional degree, as well as experience or strong potential in teaching and scholarship. An Associate Professor has demonstrated ongoing competence, maturity and independence in teaching and scholarship. A Professor has demonstrated a clear commitment to teaching and has shown

substantial achievement in research as evidenced by the production of a body of scholarly work that is widely known and respected.

### **C. Teaching Stream Expectations**

Faculty members in the Teaching Stream contribute primarily to the teaching mission. They are expected to contribute to and advance a culture of teaching excellence and educational innovation that enhances education. Some Teaching Stream faculty members have appointments that involve especially large service contributions.

An Assistant Professor, Teaching Stream often has a doctorate, a terminal professional degree or credential, or special industrial, professional or other experience that is highly valuable for teaching in their discipline, as well as strong potential or experience in teaching. An Associate Professor, Teaching Stream has demonstrated ongoing proficiency, maturity, and independence in teaching. A Professor, Teaching Stream has demonstrated a continuing and longstanding record of (i) highest quality teaching both as part of formal course-based teaching and outside of this formal teaching, as detailed in the University's Framework for Teaching Effectiveness and Addendum, and (ii) educational leadership.

### **D. Tenure, Permanence, and Promotion**

Procedures for tenure and promotion and permanence and promotion consideration for faculty members who hold probationary appointments and promotion procedures for faculty members who hold tenured or permanent appointments are set out in Policy 77. For those holding definite-term appointments, a recommendation to reappoint at a higher rank shall be considered by the Faculty Tenure, Permanence and Promotion Committee (FTPPC), and requires the approval of the Dean and the Vice-President, Academic & Provost.

The results of annual performance reviews carried out for each faculty member must be taken into account in consideration for reappointment, tenure/permanence or promotion.

### **E. Other Faculty Appointments**

All faculty appointments, other than regular appointments as described in the preceding section, are definite-term appointments (see 3.A). They may be full-time or part-time, as specified in the letter of appointment.

### **Research Appointments**

These appointments carry the titles Research Professor, Research Associate Professor or Research Assistant Professor, with rank determined according to the same scholarship criteria that apply to regular faculty appointments. A recommendation to reappoint at a higher rank shall be considered by the FTPPC, and requires the approval of the Dean and of the Vice-President, Academic & Provost.

Research faculty members are normally appointed to an academic department or school, and their duties are as specified in their appointment letters. Duties will be primarily research-oriented, but in some cases may include some service, teaching and/or student supervision. Research faculty

members should be encouraged to take part in the normal life of the department and Faculty, as permitted by their research duties. The performance of research faculty members should be reviewed annually, in accord with the nature of the appointment as specified in the letter of appointment, by the research director (supervisor, principal investigator) and the department Chair. Where the appointment includes components of service, teaching or student supervision, the department Chair shall review the performance of the research faculty member in these specific areas annually. The results of all such reviews shall be communicated to the research faculty member as soon as possible upon completion.

Research appointments are definite-term, and may be conditional on the availability of external research funding, as specified in the letter of appointment. A conditional appointment may be terminated should the external research funding for this purpose be discontinued; otherwise the usual considerations for definite-term appointments apply (see 3.A). If a research appointment is terminated prior to the contract end-date because external research funding is discontinued, any salary component promised from department operating funds and the associated teaching or other duties may, at the option of the appointee, be continued until the end of the definite-term contract period.

### **Visiting Appointments**

These appointments are definite-term, normally of duration one year or less, and carry the titles: Visiting Professor; Visiting Associate Professor; Visiting Assistant Professor; Visiting Professor, Teaching Stream; Visiting Associate Professor, Teaching Stream; or Visiting Assistant Professor, Teaching Stream.

### **Adjunct Appointments**

These appointments carry the titles Adjunct Professor; Adjunct Associate Professor; Adjunct Assistant Professor; Adjunct Professor, Teaching Stream; Adjunct Associate Professor, Teaching Stream; or Adjunct Assistant Professor, Teaching Stream. They are made to individuals, external or internal to the University, who are qualified to undertake certain specific responsibilities within an academic unit for teaching, scholarship or the co-supervision of students. Where appropriate, adjunct faculty members should be encouraged to take part in the normal life of the academic unit and Faculty.

### **Special Appointments**

The titles given (e.g., Visiting Critic, Writer-in-Residence, Resource Person) are expressive of the functions performed; the normal ranks are not used.

## **F. Miscellaneous Appointments**

### **Overload Appointments**

An individual who already has a faculty appointment in one of the other categories and who is asked to take on specific duties additional to their normal responsibilities may be given an overload appointment with additional remuneration. An overload appointment is for a definite-term, and requires approval of the Chair of the individual's home department.

## **Cross and Joint Appointments**

The terms 'cross' and 'joint' applied to appointments denote administrative arrangements, not different appointment categories. A faculty member with a joint appointment has responsibilities in two or more academic units to such an extent that these units share salary and other expenses. A cross appointment does not involve cost sharing, but does identify a faculty member who is formally associated with the work of more than one academic unit.

## **Administrative Appointments**

Faculty may hold administrative appointments as department Chairs, Deans, Vice-Presidents and so on. These appointments are covered by separate policies, and are not categories of faculty appointment under this policy.

## **Honorary Titles**

The titles Professor Emeritus/a and Distinguished Professor Emeritus/a are honorary designations, and do not indicate categories of faculty appointment under this policy.

## **3. TYPES OF FACULTY APPOINTMENT**

### **A. Definite-Term Appointments**

A definite-term appointment is an appointment for a contractually limited period of time. Although reappointment is not precluded (except by the time limits indicated below), a faculty member on a definite-term appointment is not entitled to consideration for reappointment upon the expiration of the term.

A definite-term appointment is for any period up to five years, with the provision that contracts for 1 day less than a multiple of 4 months, and other similar practices, are prohibited. Wherever practical, definite-term appointments should end on April 30, June 30, August 31, or December 31 to line up with the end of academic terms. For those whose first definite-term regular appointment was made after [IMPLEMENTATION DATE], no further definite-term appointments can be made beyond the fifth year; however, they may be considered for probationary appointments.

A faculty member with a definite-term appointment of one year or more shall be notified by the Dean no less than six months before the end of the contract with regard to reappointment. Should this deadline for notice be missed, the contract will be extended by an additional month for each partial or whole month by which notice is late. (For example, if the end date of a contract is April 30, notice is due by October 31 in the previous calendar year. If notice is not given until December 6, the contract would be extended by two months until June 30.) Faculty members with definite-term appointments of less than one year may request, in writing, notification concerning reappointment on or after the mid-point of their contracts, and the Dean shall respond within one week.

For regular faculty members, a recommendation to terminate a definite-term appointment before the contractual completion date is handled in accordance with the procedures outlined in the Memorandum of Agreement between the Faculty Association and the University of Waterloo. For

non-regular faculty members, a termination before the contractual completion date is handled in accordance with the Employment Standards Act of Ontario.

## **B. Probationary Appointments**

A probationary appointment is a regular faculty appointment for a contractually limited period of time. While probationary appointments can be made at any rank in the Tenure Stream or the Teaching Stream, they are generally made at the ranks of Assistant Professor and Assistant Professor, Teaching Stream. A faculty member holding a first probationary appointment is entitled to formal consideration for reappointment to a second probationary contract. A faculty member holding a second probationary appointment is entitled to formal consideration for tenure or permanence; see Policy 77. Faculty members with probationary appointments are not eligible for promotion prior to the granting of tenure or permanence.

A first probationary appointment shall have an end-date of June 30, and its duration shall be at least two years and ten months, but less than three years and ten months. A second probationary appointment shall be for three years. If an appointment is at fractional-load, the duration of each probationary appointment may be extended by one year. Pregnancy, or parental leaves reduce the time available to prepare for tenure or permanence consideration. Therefore, the probationary period and the time to tenure decision will be extended as described in Policy 14, Section 12.

An extended period of illness that prevents the fulfillment of duties can reduce the time available to prepare for tenure or permanence consideration. A period longer than 180 days may result in a Long Term Disability leave, in which case an extension to the probationary appointment and the time to tenure/permanence decision shall be made. A continuous period of debilitating illness which prevents the fulfillment of duties, but does not result in Long Term Disability, may also be eligible for an extension to the tenure/permanence clock upon application to the Dean. Normally such extensions will be for one year; renewable depending on the severity and continuation of the illness as determined by the University Physician. The applicant shall provide relevant medical information to the University Physician, who will provide detailed written advice to the Dean. The University has the right to request a second medical opinion, at the University's expense. Any medical information provided shall be kept in a separate confidential file, accessible only by the University Physician. If the Dean denies the request, they shall provide written reasons to the applicant, who may appeal the decision to the Vice-President, Academic & Provost. The decision of the Vice-President, Academic & Provost is final.<sup>1</sup>

Consideration for reappointment to a second probationary appointment shall occur during the final year of the first probationary appointment; see below. If reappointment is not approved, the candidate's appointment shall be extended as necessary to provide twelve months' notice from the date they are informed of the Dean's negative decision.

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<sup>1</sup> Policy 57 – Employee Accommodation is currently being amended. Section 3B of Policy 76 will be revised upon the finalization of Policy 57. In the interim, Occupational Health plays the specified role of the University Physician.

Termination of a probationary appointment prior to the contractual end-date constitutes dismissal and is subject to the terms set out in the Memorandum of Agreement between the Faculty Association and the University of Waterloo.

### **Probationary Reappointment**

The Chair shall give the candidate written notification of consideration for reappointment at least 13 months before the end-date of the first probationary appointment. The candidate shall meet with the Chair to discuss the process to be followed and the materials to be submitted. Except in unusual circumstances, external reference letters are not required for reappointment; however, if the candidate and/or the Department Tenure, Permanence and Promotion Committee (DTPPC) decide that external referees should be contacted, the procedures in Section 6 of Policy 77 shall apply. The Department (DTPPC), Faculty (FTPPC) and University Tenure, Permanence and Promotion Advisory (UTPPAC) Committees are described in Section 5 of Policy 77.

For reappointment of Tenure Stream faculty members, the candidate is expected to present a record as a good teacher and evidence of scholarly or creative work as described in sections 2 and 3 of Policy 77. The DTPPC shall assess whether the candidate is making satisfactory progress towards tenure, recognizing that at this stage it may be necessary to make judgments in some areas based on potential. The DTPPC Chair shall forward the DTPPC recommendation to the Dean and shall inform the candidate in writing, including reasons if the recommendation is negative.

For reappointment of Teaching Stream faculty members, the candidate is expected to present a record (i) as an effective teacher and evidence of becoming a strong teacher, both as part of formal course-based teaching and outside of this formal teaching, as detailed in the University's Framework for Teaching Effectiveness, and (ii) of satisfactory service, as described in sections 2 and 3 of Policy 77. (In the case of Teaching Stream faculty members with service weight greater than or equal to 40%, expectations for Service are higher than "Satisfactory" because of the prominence of this part of their roles.) The DTPPC shall assess whether the candidate is making satisfactory progress towards permanence, recognizing that at this stage it may be necessary to make judgements in some areas based on potential. The DTPPC shall forward the DTPPC recommendation to the Dean and shall inform the candidate in writing, including reasons if the recommendation is negative.

The candidate may appeal a negative decision in writing to the FTTPC within ten working days of being notified. For purposes of the appeal, the FTTPC shall be chaired by its non-voting UTPPAC member; the Dean and the DTPPC Chair shall be available to present evidence and to answer questions, but shall not otherwise participate in the proceedings. The candidate may choose to appear before the FTTPC and may choose to be accompanied by a UW academic colleague. The FTTPC shall decide whether to reappoint and shall inform the candidate and the Dean in writing, including reasons if the decision is negative. The FTTPC shall conduct its proceedings in accordance with the principles of natural justice and its decision shall be final and binding, except that an alleged failure of the FTTPC to comply with the above procedures may be grieved under the grievance and arbitration provisions of the Memorandum of Agreement between the Faculty Association and the University.

The Dean and/or Chair shall write to candidates who are to be reappointed to summarize any concerns that may have been identified, and to provide advice on preparing for future tenure/permanence consideration.

### **C. Tenured and Permanent Appointments**

Tenure and permanence are forms of continuing appointment granted only to regular faculty members, full or fractional load, in the Tenure Stream and Teaching Stream respectively. Tenure will be awarded only at the ranks of Associate Professor, or Professor; permanence will be awarded only at the ranks of Associate Professor, Teaching Stream, or Professor, Teaching Stream. Continuing Lecturers appointed before [IMPLEMENTATION DATE] who opted to retain that status will also be deemed to have permanence. For clinical faculty, the term “clinical tenure” is sometimes used, for instance in advertising open positions. This alternative terminology does not reflect any difference in the status of the appointment; it is in place because it is sometimes useful to indicate that suitable candidates for the position can have scholarly or teaching activities that differ from those typical of non-clinical faculty. In particular, scholarly activities may focus on activities described in Policy 76, sec. 2 as “new applications of knowledge to the problems of society.”

Normally, faculty members are considered for tenure or permanence during their fifth or sixth year of probationary appointment at the University of Waterloo. The criteria and procedures for the granting of tenure or permanence are set out in Policy 77.

An initial appointment with tenure or permanence is unusual and can be made only at the rank of: Professor; Associate Professor; Professor, Teaching Stream; or Associate Professor, Teaching Stream. An appointment with tenure or permanence must be recommended by the FTPPC, and requires approval by the Dean, the VPA&P and the Board of Governors.

A tenured or permanence appointment can be terminated prior to retirement only for adequate cause or for reasons of financial exigency. Dismissal of a tenured or permanence faculty member is handled in accordance with the procedures outlined in the Memorandum of Agreement between the Faculty Association and the University of Waterloo. Similarly, dismissal of a Continuing Lecturer is handled in accordance with the procedures outlined in the Memorandum of Agreement between the Faculty Association and the University of Waterloo.

### **D. Lecturer Appointments**

Lecturers are regular faculty appointments made on a full-time or fractional-load basis and are of two types: definite-term or continuing. Effective [IMPLEMENTATION DATE], new appointments will no longer be made to the rank of Lecturer.

Continuing Lecturers appointed before [IMPLEMENTATION DATE] who did not elect to transition to the professorial Teaching Stream ranks will maintain the same terms and conditions of employment that applied to the rank of Lecturer prior to the introduction of the professorial Teaching Stream ranks.



Dismissal of a Continuing Lecturer is handled in accordance with the procedures outlined in the Memorandum of Agreement between the Faculty Association and the University of Waterloo.

This appointment category and any other reference to the rank of Lecturer or the title of Continuing Lecturer shall be removed from policy once no faculty members remain who continue to hold an appointment at the rank of Lecturer.

#### **4. OTHER INFORMATION**

##### **A. Participation in Roles and Governance**

Regular Tenure Stream faculty members and regular Teaching Stream faculty members have equal rights with respect to participation in University governance. In particular, all regular faculty from both streams may attend and vote at Department meetings and Faculty Council meetings, although it is appropriate that for some longer-term decisions voting may be restricted to probationary, tenured, and permanent faculty members.

Probationary, tenured and permanent faculty members from both streams may sit on and be eligible for election to appropriate departmental, Faculty and University committees and service roles, noting that for some of these roles differential eligibility is indicated in Policy, procedures, or as a reasonable qualification for a particular role.

##### **B. Issues Particular to Teaching Stream**

###### **“One-in-Six” Term**

With the exception of clinical faculty members, full-time faculty members in the Teaching Stream are entitled to at least one term out of six in which they are not assigned courses to teach. More precisely, in every two-year period beginning January 1 of an odd-numbered year and ending 24 months later, full time Teaching Stream faculty members are entitled to take at least one term without assigned courses; Teaching Stream faculty members whose positions started after January 1, 2025 and whose appointment date was in an even-numbered year shall have their two-year windows begin on January 1 of even-numbered years.

One such term without courses assigned shall be designated the “one-in-six” term in an agreement between the faculty member and their Chair, and a formal list of these terms will be kept by the Chair. In this “one-in-six” term, faculty members in the Teaching Stream will focus more closely on other pedagogical elements, educational elements, and/or educational leadership in support of teaching as described in the University’s Framework for Teaching Effectiveness.

By mutual agreement between a faculty member and the Chair, the timing of this term may be adjusted within the designated two year period; in extraordinary circumstances, the timing of this term can be moved into one of the first two terms in the subsequent two year period, resulting in two such terms in that period. Such agreements will make explicit in writing when a replacement term without formal teaching duties will occur.

During the Teaching Stream faculty member’s designated “one-in-six” term, no overload teaching is permitted.

## Course Reduction

It is the intention of the University to support in every way possible the earned course reductions for probationary and permanent Teaching Stream faculty members as detailed below.

It should be clearly understood that granting earned course reductions is contingent upon the faculty member's department being able to make the necessary arrangements to accommodate such an absence, having taken reasonable steps to do so. Consistent with Policy #3 (Sabbatical and Other Leaves) granting of earned course reductions is also contingent upon the financial resources of the University in any given year.

Should problems arise in any of the above creating reasonable operational limitations on the ability to grant earned course reductions, it may be necessary to postpone individual requests until such time as all the conditions can be satisfied. In such circumstances, the member shall continue to accumulate course reduction credits, and this accumulation shall not be subject to approval by the Dean that is specified in subsection g.

- (a) Continuing Lecturers and definite-term Assistant Professors, Teaching Stream are not eligible for the earned course reductions laid out in Policy 76.
- (b) Probationary Assistant Professors, Teaching Stream hired after **IMPLEMENTATION DATE** will have their teaching load reduced by 1 course in the first year of their contract.
- (c) Probationary Assistant Professors, Teaching Stream hired after **IMPLEMENTATION DATE** who are re-appointed to a second probationary contract will have their teaching load reduced by 1 course in the first year after re-appointment.
- (d) Permanent Associate Professors, Teaching Stream and Professors, Teaching Stream will accumulate 1 course reduction credit for each assigned course (equivalent to 0.5 units) that they teach as part of their regular position. (Overload courses taught for a stipend are not eligible to contribute to course reduction credit.) Permanent Associate Professors, Teaching Stream and Professors, Teaching Stream will also accumulate course reduction credits for course reductions granted for service tasks that do not involve a teaching or educational leadership component. For instance, no credit would accumulate where earned course reductions are allocated for the purposes of developing teaching materials or serving as a Teaching Fellow, but would for roles such as Associate Chair, Associate Dean, Associate Vice-President. For service tasks involving multiple earned course reductions, and that partially involve a teaching or educational leadership component, careful consideration of the number of course reduction credits is required. The number of course reduction credits that will be granted for a service role shall be discussed with the faculty member and is subject to approval of the Chair and the Dean, and is to be documented in writing at the time of appointment.
- (e) Course reduction credits can be converted to earned course reductions at the rate of 13 course reduction credits for 1 earned course reduction (equivalent to a 0.5 unit).

Permanent Teaching Stream faculty members must apply to use earned course reductions (see subsections (h) and (i)). Course reduction credits can be converted starting in the term following the accumulation of the 13th course reduction credit.

- (f) Teaching Stream faculty members may share their preference in scheduling earned course reductions with their Chairs, and subject to operational requirements, reasonable efforts will be made to accommodate preference. When the intention of the Teaching Stream faculty member is to convert their earned course reductions into an additional term without assigned courses, additional efforts will be made to make this term adjacent to their one-in-six term if requested.
- (g) Generally, permanent Teaching Stream faculty members can accumulate at most 45 unused earned course reduction credits, which cannot be paid out at retirement. In exceptional circumstances (for example, when a project has to be delayed for project-related reasons or department-related reasons), additional course reduction credits may be accumulated with the approval of the Dean. (For clarity, in circumstances where a member has not used their earned course reduction entitlement, they will not lose their existing course reduction credits; however they will not continue to accumulate additional course reduction credits unless and until an earned course reduction is utilized.)
- (h) Permanent Teaching Stream faculty members can apply for 1, 2 or 3 earned course reductions in a given fiscal year, subject to the condition that one cannot apply for earned course reductions that are greater than half of that year's teaching load.
- (i) Earned course reductions are granted to enable projects or activities that have the potential to improve teaching and learning at University of Waterloo or more generally. The Chair and the Dean will be responsible for the approval of an earned course reduction on the basis of an application which sets out the tasks or project related to educational leadership which the faculty member intends to carry out. Where a Chair is considering not approving a reduction, they will first provide the member with feedback on the proposal and an opportunity to revise and resubmit. Proposals will also include a feasible work plan and should be submitted to the Chair at least 4 months prior to the beginning of the expected term in which the reduction would occur. As with sabbaticals, approval of future earned course reductions is contingent on satisfactory progress made with previous earned course reductions. Activities carried out during the time given by the earned course reduction will be considered for the purposes of the faculty member's next performance review.

## **5. FACULTY APPOINTMENT INTENSITIES**

**Full-time faculty appointments** are 12-month appointments which carry an obligation for some combination of teaching, scholarship and University service throughout the full year, excepting annual paid vacation.

**Part-time appointments** may be made in any of the non-regular faculty appointment categories (Section 2.E). A part-time appointment carries a lower time commitment than does a full-time appointment, and may also have a more limited range of duties and responsibilities, as specified in the letter of appointment.

**A fractional-load appointment** is a regular faculty appointment that carries the same distribution of duties in teaching, scholarship and service as does a regular full-time appointment at the same rank, but the total commitment of time to the University is not as great. Fractional-load appointments can be made at any fraction of total load (normally at least 50%) that corresponds to a practical assignment of University duties. A faculty member who holds a probationary appointment on a fractional-load basis is entitled to formal consideration for reappointment or tenure at the same fractional load.

Regular faculty members may apply to change their appointments from full-time to fractional-load (or vice versa). Such changes require the written mutual agreement of the faculty member and department Chair, and must be formally approved by the Faculty Dean and the Vice-President, Academic & Provost.

### **Temporary Reduction in Workload**

Faculty members who desire a temporary reduction in workload should apply for a partial leave of absence; see Policy 3.

A reduced load to retirement is a special fractional-load appointment with respect to participation in UW pension and benefit plans; see Policy 59.

## **6. HIRING PROCEDURES FOR REGULAR FACULTY MEMBERS**

This section describes the procedures to be followed in hiring probationary and tenured/permanent faculty members, as well as those regular faculty members on definite-term appointments of at least three years duration.

Academic excellence, the cornerstone of UW's mission, is achieved by the commitment of the University community to the highest quality teaching, scholarship and services that support the academic enterprise. That commitment underlies admission and examination standards, hiring and promotion decisions, criteria for performance evaluation and academic goals.

Consistent with the mission of achieving academic excellence, UW is committed to recruit the best faculty possible, within the context of its budgetary considerations and academic programs, as well as priorities such as faculty renewal and employment equity. Faculty recruitment will be carried out through the application of the highest standards and best practices. Recruitment of faculty of the highest quality is a very competitive process and as such requires prompt actions on the part of all involved with the recruitment process. The VPA&P, Faculty Deans and Department Chairs will take appropriate administrative measures to realize this goal.

The need for a new or replacement appointment is identified by a Department Chair in consultation with the department. Authorization to advertise a position must be obtained from the Dean and the Vice-President, Academic & Provost to ensure that the appointment is consistent with

Faculty/University priorities and budgetary considerations. Care should be taken that the position is not defined so narrowly as to limit unreasonably the pool of qualified candidates.

Procedures are to be adopted to ensure that an adequate list of possible candidates of the highest quality is obtained through proactive national and, if appropriate, international searches and that selection from this list has been effectively carried out. The search process will continue until an adequate list of possible candidates of the highest quality is obtained.

Positions are advertised in University Affairs and/or the CAUT Bulletin, and normally in relevant professional journals and e-lists. Also, the Chair shall send advertisements to appropriate contact persons at other Canadian universities. Advertisements should specify the desired areas of specialization, the anticipated rank and starting date, the deadline for applications, and immigration requirements. They must include UW's employment equity statement. It is recognized that in a highly competitive environment, advertisement is a necessary tool for recruitment but is not a substitute for other forms of proactive recruitment such as identifying potential candidates through professional colleagues.

In addition, the Chair and other department members should strive to identify qualified candidates and encourage them to apply. This is particularly important when there is a serious gender imbalance in the department. In some cases, it may be necessary to exercise flexibility with respect to starting date and/or non-traditional career paths.

#### **A. Department / School Advisory Committee on Appointments (DACA)**

For each regular faculty appointment of duration more than two years, a search committee (DACA or equivalent for inter-departmental and joint appointments) shall be established. The DACA is normally chaired by the Department Chair or equivalent, and normally consists of from three to five tenured or permanent faculty members chosen in a manner acceptable to the department(s) or equivalent. In the case of smaller units where there may not be a sufficient number of tenured/permanent faculty members or when a particular disciplinary expertise is needed, senior probationary faculty members may be chosen to serve on the DACA.

It is highly desirable for the DACA to include both women and men. It is also desirable for the DACA to include both Tenure Stream and Teaching Stream faculty members, regardless of the stream of the position for which the DACA is hiring; when a Teaching Stream faculty member will be hired, it is particularly important that the DACA include Teaching Stream faculty. Where either of these desirable outcomes is not possible, a department, in consultation with the Dean, should consider inviting a faculty member from a related discipline to join the DACA.

The DACA shall participate in short-listing and interviewing candidates for the position, and shall provide advice to the department Chair concerning the selection procedure and suitability of the various candidates. In determining suitability, the DACA shall take into account UW's commitment to the highest quality teaching, scholarship and services which support the academic enterprise. Selected candidates must have demonstrated records or at least the potential to meet the above standards, as appropriate to the advertised position. The DACA will determine appropriate processes to evaluate candidate suitability based on these measures and the duties associated with

the position. These measures should include some form of teaching evaluation and, where appropriate, a research seminar. If there is significant disagreement between the advice of the DACA and the Chair's recommendation, it shall be noted, and become part of the record.

Candidates should be asked only questions relating to bona fide position or occupational requirements. Enquiries as to an applicant's birthplace, ancestry, marital status, family status, age, sex, religion, record of offenses or handicap are contrary to Human Rights legislation and could form the basis for a discrimination claim.

### **B. Role of the Department Chair**

The Department Chair plays a critical role in the hiring process. It is the Chair's responsibility to ensure that candidates being interviewed and the selected candidate meet UW's expectation of the highest quality teaching, scholarship and services which support the academic enterprise. In addition, it is the Chair's responsibility to provide each candidate interviewed with information about salary levels, teaching loads, performance expectations, procedures for reappointment and/or the granting of tenure/permanence, and other terms and conditions of employment.

The Chair is expected to consult widely and generally to involve other department members in the hiring process (e.g., by making CVs of short-listed candidates available). Before making a hiring recommendation, the Chair must review with the Faculty Dean the list of candidates considered, ranked according to desirability for the position and department needs. If two candidates of different genders are judged to be equally suitable for the position, preference will be given to the underrepresented gender.

### **C. University Appointments Review Committee (UARC)**

This Committee, appointed by the Vice-President, Academic & Provost in consultation with Deans' Council and the President of the Faculty Association, shall advise on regular faculty appointments of duration two years or more and, if requested, shall advise on regular faculty appointments of a shorter duration. UARC shall consist of one or more members from each Faculty, and shall include at least two women and two men. The term of office is three years, staggered to provide continuity. The Chair of UARC is chosen from among its members by the Vice-President, Academic & Provost.

UARC shall review the hiring process and provide advice to the Dean before a hiring recommendation is sent to the Vice-President, Academic & Provost for approval. The Chair (through the Dean) shall provide UARC with a brief summary of the recruiting process including efforts to solicit candidates from underrepresented genders. Documentation (such as CVs, letters of reference) will be provided for the top three candidates. If all three are of the same gender, documentation will also be provided for the top candidate of a different gender.

Special arrangements may be required to permit continuous recruitment for multiple vacancies when the hiring environment is highly competitive. The department Chair and Faculty Dean shall seek the advice of the UARC Chair on the proposed recruitment strategy, and shall obtain the written approval of the VPA&P.

Because faculty hiring is often highly competitive, UARC will respond expeditiously, usually within a week of receiving documentation. Normally, the UARC Chair will review cases in consultation with the UARC member from the relevant Faculty, and will act on behalf of the Committee. The UARC Chair should meet with the Committee, or a subset of it, if there appear to be problems with the hiring process.

In exceptional circumstances, and with the approval of the Vice-President, Academic & Provost, the UARC review process may be bypassed. When this occurs, the Dean shall provide reasons in writing to the UARC Chair for information.

More generally, UARC monitors the hiring process to ensure that positions were properly advertised, that both the letter and the spirit of the hiring procedure were followed and that there was a thorough search for candidates, especially candidates of the underrepresented gender. It provides advice to Chairs, Deans and the VPA&P with respect to faculty hiring, and reports to Senate annually, via the Vice-President, Academic & Provost, on its activities and operation.

#### **D. Exceptional Candidates**

The opportunity to recruit uniquely qualified, internationally recognized scholars may necessitate prompt hiring decisions to attract such individuals to become UW faculty members. In such cases, with the recommendation of the DACA(s) involved in the proposed hiring and in consultation with the VPA&P, the Dean(s) may waive normal hiring requirements. The following process will then ensue. After a departmental presentation by the candidate and upon a positive recommendation from the DACA(s) with the approval of the Dean(s) and Vice-President, Academic & Provost, the candidate may be offered a position. The Vice-President, Academic & Provost will provide an annual statistical report on such cases to Senate, with special attention to equity.

### **7. PROCEDURES FOR SPOUSAL APPOINTMENTS**

In accordance with its academic mission, UW is committed to the principle of recruiting the best available faculty in its pursuit of excellence. Increasingly, recruiting involves couples who are both academics. In such cases, it is desirable for UW to benefit from the combined excellence of both the recruit and the recruit's spouse. Spousal appointments are intended as positions from which the spouse may find a more long-term position.

Spousal appointments are governed by the following criteria:

- The spousal appointee should be of such calibre that were a vacancy to arise in the spousal's hire area in the department/school, they would be a credible candidate for that position.
- The spousal appointment normally is a definite-term Appointment [see Section 3A], and normally is for a term of up to three years.
- The sponsoring unit must provide justification in support of the sponsoring unit recruit. The host unit through its appointments committee must also make a strong case in support of the spousal recruit.
- Due to the special nature of the spousal appointment, there is no requirement for advertising and competition, but all other requirements set out in section 6 must be met.
- UARC will review the two hire files concurrently.

- Department/School and Faculty approval processes (apart from advertising and competition for the spousal appointment) must be satisfied.



## SCHEDULE "B"

# **Policy 77 – Tenure, Permanence and Promotion of Faculty Members**

Established: June 5, 2000

Last Updated: **INSERT DATE**

Class: F

## **1. INTRODUCTION**

Universities exist to develop society's intellectual resources and to preserve its intellectual traditions. Their primary functions are to preserve, evaluate, develop, and transmit knowledge, intellectual skills and culture. The modern university is expected to provide intellectual leadership to society, to contribute in a major way to the coordination of knowledge and the development of artistic, philosophical, scientific, and technological ideas, and to provide a fertile intellectual environment in which new knowledge and ideas can evolve. To achieve these goals, faculty members must be effective and committed teachers and scholars, constantly striving to expand and communicate their knowledge, ideas and understanding for the benefit of society.

### **Tenure and Permanence**

Tenure and Permanence are meant to provide institutional support for academic freedom (see the Article on Academic Freedom in the Memorandum of Agreement between the University and the Faculty Association). The pursuit and dissemination of knowledge and the attainment of understanding through scholarship and teaching, which are essential functions of a university, occur best in an atmosphere in which free inquiry and discussion are fostered. Free inquiry and dissemination of knowledge may at times bring a faculty member into conflict with society, governments or the University itself. Tenure and permanence provide security of employment against pressures that might arise from such conflicts, in the belief that the University and society at large benefit from honest judgments and independent criticisms rendered by scholars who are free from fear of possible consequences that might arise from giving offense to powerful individuals or groups.

Tenure and Permanence provide stability for both individual faculty members and the University. Tenure and Permanence provide a faculty member with an environment conducive to long-term scholarly work and development as an educator. The University, for its part, is assured of a continuing group of teachers and scholars committed to the University, around which it can plan and from whom it can draw its academic leadership.

### **Professional Conduct**

All faculty members are expected to conduct themselves in relations with colleagues, staff and students across the University in such a way as to promote the academic well-being of all concerned. Faculty members should avoid denigrating the character and professional competence of others, and should pass judgment on the work of colleagues only in the proper academic forums. Further, they should refrain from actions that prevent others from pursuing their legitimate activities and should strive to be helpful, readily contributing their time and expertise for the overall benefit of the academic community.

## **2. PERFORMANCE STANDARDS**

The standards outlined here guide all decisions made at each stage of a regular faculty appointment, beginning with the original decision to hire. Because these standards are intended to apply university-wide to faculty members engaged in complex intellectual endeavours, they cannot be expressed in absolute quantitative terms. Nonetheless, they do provide a framework around which qualitative judgments can be made by academic administrators and by those serving on tenure, permanence and promotion committees.

The University expects all faculty members to maintain high standards in all aspects of their university work. To this end, the University exercises judgments on performance in the basic areas of a faculty member's academic responsibilities. Such judgments must be made with the greatest possible care and fairness as they are reflected in decisions regarding salary, reappointment, tenure/permanence, and promotion.

It is the responsibility of department Chairs to assess the performance of each probationary or definite-term regular faculty member annually and each tenured or permanent faculty member every two years, to provide a written performance review, and to be available to discuss it upon request. Performance reviews are especially important in helping new faculty members gauge their progress towards meeting the standards for reappointment and tenure/permanence. Annual/Bi-annual performance reviews form part of the evidence in tenure/permanence and promotion considerations, together with reports from referees and more extensive career reviews carried out by the Department Tenure, Permanence and Promotion Committee (DTPPC).

### **Teaching**

University teaching is informed and enriched by the research, scholarship and service of its faculty. The University expects its regular faculty members to keep academic programs and courses current with developments in their fields and, where appropriate, to communicate both their discoveries and their commitment to scholarship and research.

The purpose of teaching is to facilitate learning. Thus, effective teaching draws the strands of a field together in a way that provides coherence and meaning, places what is known in context, lays the groundwork for future learning, and opens the way for connections between the known and the unknown. Effective teaching is an important goal of the University and consists of much more than what happens in the classroom. As detailed in the University's Framework for Teaching Effectiveness, and its Addendum.

University teaching encompasses a wide range of activities. It takes many different forms (e.g., undergraduate and graduate courses, graduate seminars, online education, project and thesis supervision), has many different components (e.g., synchronous lectures and tutorials, asynchronous learning elements, setting and grading of assignments and examinations, interaction with students outside the classroom, curriculum development), and can occur in many different environments (e.g., large lecture theatres, small seminar rooms, off-campus short courses and workshops, clinics, laboratories, one-on-one supervision, virtual platforms).

All faculty members from both streams are expected to contribute to undergraduate teaching. Where feasible, tenure stream faculty are expected to contribute to graduate teaching and to participate in project/thesis supervision. Where feasible and depending on the needs of their unit, Teaching Stream faculty are also eligible to contribute to graduate teaching and to participate in project/thesis supervision.

For purposes of assessing teaching, it is useful to single out particular sorts of contributions to the quality of teaching and learning that extend beyond course instruction and supervision. Some such activities are those that improve an individual instructor's performance, the quality of the classes they teach or the supervision they provide, while others (referred to as *educational leadership* activities) have a substantial positive impact on the quality of teaching and learning beyond the individual faculty member's courses, the programs in which they teach, or the students they supervise.

In all of their teaching activities, faculty members are expected to be fair in the evaluation of student work and constructive in their comments. They are expected to be available to students for interviews and consultations outside the classroom at reasonable times. They must always respect the integrity of their students and carefully avoid any exploitation of them for private advantage. They must maintain strict confidentiality with regard to students' personal lives and political and religious views. They must comment on academic progress and provide judgments on character only to appropriate persons and in appropriate circumstances, and must always be as fair and as objective as possible when making assessments and providing letters of reference.

## **Scholarship**

The University expects Tenure Stream faculty members to be active participants in the evolution of their disciplines and professions. Where feasible, faculty members are expected to seek external funding to support their scholarly work.

Scholarship may take several equally valuable forms. One is the discovery of new knowledge, which may differ from discipline to discipline, and includes the generation of new concepts, ideas, principles and theories. A second form involves the innovative coordination, synthesis or integration of knowledge. This type of scholarship seeks and promotes understanding in a broader context by organizing knowledge in a new and useful way, by illustrating new relationships between the parts and the whole, by relating the past in a new way to the present and future, or by demonstrating new and significant patterns of meaning. Scholarship may also be observed in new and useful applications. Indeed, significant new applications of knowledge to the problems of society represent important scholarly contributions. Novel applications may take many forms, such

as creative writing, design, fine and performing arts, innovative clinical or professional practice, and the discovery, development and transfer of technology for societal benefit. Peer-reviewed research with respect to pedagogy and peer-reviewed research with respect to innovative teaching also constitute scholarly activity.

Although any of these scholarly activities may be carried out on a confidential basis, the expectation of the University is for communicated scholarship. In general, only work that is accessible for peer review or professional adjudication can be considered in assessing scholarship for performance reviews, tenure or promotion. Regardless of the discipline and type of scholarship, the key ingredients are the originality, quality and impact of the scholarly work.

Faculty members are expected to meet the ethical standards for scholarship in their particular fields of endeavour; to observe the University's guidelines and policies with respect to ethical conduct in research; and more generally, to act with integrity, truthfulness and honesty in the conduct and communication of their scholarly work.

### **Service**

In addition to their primary duties of teaching and scholarship, regular faculty members have a responsibility to participate in the effective functioning of the University through service on committees, student advising, coordination of activities and in administrative positions. It is important that all faculty members be willing to assist with administrative duties when their help is needed. Many faculty members also provide valuable service to groups outside the University, such as disciplinary or professional organizations, conferences, journals and granting councils. Community service related to a faculty member's scholarly activities is normally considered as service to the University.

## **3. PERFORMANCE ASSESSMENT**

Peer assessment forms the basis for determining the suitability of a faculty member for the granting of tenure/permanence or for promotion. Insofar as possible, tenure, permanence and promotion committees shall base their assessments on evidence that is first-hand and direct.

### **Assessment of Teaching**

University teaching involves much more than “classroom performance”. As described in the University’s Framework for Teaching Effectiveness, teaching includes many dimensions, including Design, Implementation, Learning Experience, and Professional Development. It is normal that different dimensions are emphasized at different times in a teaching career. Hence, it is important to develop a fair assessment of effectiveness across the candidate's full spectrum of teaching activities. A holistic assessment of teaching effectiveness includes examining these various dimensions, as relevant, and using appropriate instruments in each case.

Teaching effectiveness should be assessed broadly using evidence gathered from multiple sources, often including self-reflection from the faculty member (often via a teaching dossier, annual/bi-annual performance reports, etc.), peer reviews of teaching, student course perception survey data

and comments, evaluations of graduate supervision (where applicable), and possibly other sources. The opinions of former students can also be of value if solicited on a systematic basis.

### **Assessment of Scholarship**

The University relies primarily on external referees and members of the DTPPC to judge a candidate's scholarly record. Although the University looks for evidence of active continuing scholarship, the volume of scholarly output is less important than its quality, originality and impact.

A candidate for tenure, permanence or promotion with a non-zero scholarship weighting must provide examples of their scholarly work for examination by referees and the DTPPC. The candidate is responsible for documenting contributions made to team research and jointly authored work. Joint work with students supervised by the candidate should be identified. The candidate must also provide an overview of their scholarly work to date, information about work in progress and a general indication of future plans.

High quality contributions to the synthesis of knowledge (e.g., books, monographs, review articles) and to non-traditional forms of scholarship (e.g., artistic exhibitions and performances, innovative design) can provide direct evidence of effective scholarship. Consulting reports and planning documents that are accessible for peer review and evidence of having produced improvements in clinical or professional practice may also be submitted as evidence of a candidate's scholarly contributions.

Other evidence of activity and standing as a scholar includes supervision of student research, invitations to present "keynote" addresses, election to and awards received from professional and disciplinary societies, service as a referee for journals and granting councils, and membership on government or professional committees.

The primary assessment of quality, originality and impact is made by referees and DTPPC members on the basis of examining examples of the candidate's work. Other less direct indicators include the rigour of the review processes for journals and conferences in which the candidate has published, the standards of publishing houses for books, and the extent to which other scholars have made reference to the work. In areas such as the fine and performing arts, similar information may be derived from the prestige of exhibitions and performances to which the candidate has contributed, professional reviews and the receipt of awards or prizes.

### **Assessment of service**

Candidates for tenure/permanence or promotion shall provide information on their service activities in sufficient detail to allow the DTPPC to assess its quantity and quality. Where necessary, the DTPPC should obtain statements from those who have personally observed the candidate's service contributions both internal and external to the University. In the case of those positions with higher than typical assignment of duties for service (i.e. weighting of 40% or more), it is especially important to ensure sufficient evidence to evaluate the quality and quantity of service activity of a tenure/permanence or promotion candidate. Some service activities, such as

chairing a curriculum committee or editing a professional society journal, may also provide indirect evidence for scholarship or teaching.

#### **4. TIMING AND CRITERIA**

Candidates for tenure/permanence and promotion must apply to the department Chair not later than June 1 in order that their applications can be considered by the DTPPC and FTTPC during the fall term.

##### **Consideration for tenure/permanence**

A faculty member holding a second probationary Tenure Stream appointment is entitled to formal consideration for tenure, and a faculty member holding a second probationary Teaching Stream appointment is entitled to formal consideration for Permanence, which normally occurs during the second year of the second probationary appointment. However, the candidate may choose to postpone consideration until the third year. Employment as a regular faculty member beyond the second probationary appointment is possible only if tenure/permanence has been granted.

In exceptional circumstances, for instance where extensive experience was acquired at UW or elsewhere prior to the probationary appointment at UW, an individual may be considered for tenure/permanence earlier than the second year of the second probationary appointment. Such early consideration requires the agreement in advance of the candidate and the DTPPC plus the written agreement of the Dean. If either the DTPPC or the FTTPC recommends against tenure/permanence, early tenure/permanence consideration shall cease and the candidate must wait for tenure/permanence consideration until the final year of the second probationary appointment.

The granting of tenure to a probationary Assistant Professor carries with it appointment at the rank of Associate Professor, and the granting of permanence to a probationary Assistant Professor, Teaching Stream carries with it appointment at the rank of Associate Professor, Teaching Stream.

For Tenure Stream faculty members, the expectations for the granting of tenure are: a record as a good teacher committed to academic and pedagogical excellence; a record of high-quality and peer-assessed scholarly or creative work (normally demonstrated by publication or presentation in suitable academic or artistic forums); and a record of professional, university or community service. See sections II. and III. The granting of tenure normally will require a record of strong performance in both scholarship and teaching, with satisfactory performance in service. However, a candidate may also qualify for appointment as a tenured Associate Professor by virtue of very strong performance in scholarship or teaching with at least satisfactory performance in the other two areas.

Tenure is not a right: it must be earned by a record of good performance. By the time candidates are considered for tenure they will have had ample opportunity to develop their teaching skills and to make original contributions to their fields of endeavour. These original contributions must be of sufficient magnitude to give witness to a candidate's depth of understanding and scholarly and professional competence. Committees and external referees will be concerned not so much with the volume of scholarly output as with the depth of understanding and degree of scholarly

competence it demonstrates. Particular attention will be paid to assessing the likelihood that candidates will continue their scholarly activities once tenure has been awarded.

Candidates for tenure should have demonstrated their willingness to participate in service activities as described in Section II. However, service expectations are lower for probationary faculty than for tenured faculty, and service is not weighted as heavily as scholarship or teaching in tenure considerations.

### **Standards for Promotion**

The standards to which faculty members strive for the granting of permanence and promotion on the Teaching Stream are broadly parallel to those on the Tenure Stream, but with important differences that reflect the different roles that faculty members on the two streams serve.

The expectations for the granting of permanence are: a record as a strong teacher committed to academic and pedagogical excellence; and a record of satisfactory professional, university or community service. While the default weights for a Teaching Stream faculty member are 80% Teaching and 20% Service, there are Teaching Stream faculty members with lower Teaching weights due to a higher Service load. For Teaching Stream faculty members with a service weighting of at least 40%, expectations for Service are higher than “Satisfactory” and increase as the weighting increases, because of the prominence of this part of their roles. Notwithstanding this higher service weight, as Teaching Stream faculty members, the expectation is still that a record as a strong teacher is maintained, regardless of their Teaching weight, recognizing that those with less than 80% Teaching may have less opportunity to demonstrate the quality of their teaching as those with 80% Teaching.

In exceptional cases, an Assistant Professor, Teaching Stream may have a non-zero Scholarship weighting as part of their appointment. In such cases, the granting of permanence normally will require a record of strong performance in teaching and good performance in scholarship, in addition to a record of service as described earlier. However, a candidate may also qualify for appointment as a permanent Associate Professor, Teaching Stream by virtue of very strong performance in teaching with at least satisfactory performance in scholarship, in addition to a record of service as described earlier. Generally, the expectations for the quality of scholarship will be the same as that for promotion to Associate Professor in the Tenure Stream, though the expectations for quantity must be moderated to recognize the time and opportunity their appointment provides to pursue scholarship.

### **Consideration for promotion to Professor**

In principle, a tenured Associate Professor may apply in any year for promotion; however, it is unusual for such a 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.

Promotion to the rank of Professor recognizes a high order of achievement in both scholarship and teaching by tenured Associate Professors, together with satisfactory performance in service. Although evidence of strong teaching performance is required, normally the greatest emphasis is

placed on scholarship and achievement within an individual's discipline. However, in exceptional cases, a tenured Associate Professor may be promoted on the basis of an outstanding teaching record accompanied by a continuing and long-standing record of satisfactory or better scholarship and service.

A continuous program of scholarship with positive peer review by nationally and internationally recognized scholars is essential for promotion to Professor. For clinical faculty, the relevant scholars will often be nationally and internationally recognized practitioners in the relevant fields, and may not have academic appointments. The candidate's record is to be judged in comparison with the records of faculty members recently promoted at UW and other universities of comparable standing. Promotion to Professor is not an assured step in the career of a Tenure Stream faculty member, and some will not attain this rank.

### **Consideration for promotion to Professor, Teaching Stream**

In principle, a permanent Associate Professor, Teaching Stream, may apply in any year for promotion; however, it is unusual for such a promotion to occur prior to five years of full-time service in the rank of Associate Professor, Teaching Stream. If an application for promotion is unsuccessful, the candidate becomes eligible to reapply two years thereafter.

Promotion to the rank of Professor, Teaching Stream recognizes a high order of achievement in teaching and educational leadership by permanent Associate Professors, Teaching Stream, together with at least satisfactory performance in service. (Associate Professors, Teaching Stream with service weightings at least 40% must demonstrate at least strong service.)

A continuous record of strong teaching and of impact beyond the classroom via educational leadership activities is essential for promotion to Professor, Teaching Stream. The candidate's record is to be judged in comparison with the records of faculty members recently promoted at UW and other universities of comparable standing. Promotion to Professor, Teaching Stream is not an assured step in the career of a faculty member, and some will not attain this rank.

In exceptional cases, an Associate Professor, Teaching Stream may have a non-zero Scholarship weighting as part of their appointment. In such cases, promotion to Professor, Teaching Stream normally will require a record of high order of achievement in teaching and good performance in scholarship, in addition to a record of service as described earlier. However, a candidate may also qualify for promotion to Professor, Teaching Stream by virtue of outstanding performance in teaching together with long-standing satisfactory performance in scholarship, in addition to a record of service as described earlier.

## **5. TENURE, PERMANENCE AND PROMOTION COMMITTEES**

### **Department Tenure, Permanence and Promotion Committee (DTPPC)**

The DTPPC shall be chaired by the department Chair and shall include four to six tenured or permanent faculty members elected by the tenured, permanent and probationary faculty of the department. The Chair and elected members shall be voting members of the DTPPC. Normally, a majority of the DTPPC's voting members should be from the tenure stream; a majority of the



DTPPC's voting members should be at the rank of Professor or Professor, Teaching Stream; the DTPPC should include both men and women; and the DTPPC should include at least one member from the Teaching Stream. In addition, the Dean may appoint a non-voting advisor to the DTPPC.

In small departments or where there are too few faculty members at the rank of Professor or Professor, Teaching Stream to constitute a majority on the committee, or where there are insufficient appropriate Teaching Stream faculty members available to serve on the committee, the Dean, after consultation with the department and with the written approval of the Vice-President, Academic & Provost, may make other arrangements respecting the size and composition of the DTPPC. Nevertheless, if Teaching Stream faculty are likely to be evaluated for permanence or promotion, the Dean should strongly consider inviting a Teaching Stream faculty member from a related discipline to join the DTPPC.

In departments that include clinical faculty, when such faculty are likely to be evaluated for tenure or promotion, the DTPPC should include members with the requisite expertise to evaluate the scholarly contributions of the clinical faculty. Where this is not possible, a department, in consultation with the Dean, should strongly consider inviting a faculty member with such expertise from a related discipline to join the DTPPC.

By May 1 each year the Chair shall report the DTPPC membership to the Dean and to the department's tenured, permanent and probationary faculty, and shall invite those who wish to be considered for tenure/permanence or promotion to apply by June 1.

#### **Faculty Tenure, Permanence and Promotion Committee (FTPPC)**

The FTPPC shall be chaired by the Faculty Dean and shall include at least five tenured or permanent faculty members broadly representative of Faculty program areas and elected by the tenured, permanent and probationary members of the Faculty. A majority of the FTPPC's elected members shall be from the tenure stream and a majority shall be at the rank of Professor or Professor, Teaching Stream. The FTPPC should include both men and women and include at least one member from the Teaching Stream. FTPPC members may not serve simultaneously on a DTPPC in the same Faculty.

The Dean and elected members shall be voting members of the FTPPC, and the Vice-President, Academic & Provost shall appoint an additional voting member who shall be a tenured or permanent faculty member from outside the Faculty. The University Tenure, Permanence and Promotion Advisory Committee (UTPPAC) shall appoint a non-voting advisor from amongst its members. The Dean shall report the membership of the FTPPC to the Vice-President, Academic & Provost and to the Faculty's regular faculty.

#### **University Tenure, Permanence and Promotion Committee (UTPPC)**

The UTPPC shall be chaired by the Vice-President, Academic & Provost and shall include the Faculty Deans, the Associate Vice-President, Graduate Studies and Postdoctoral Affairs and the Vice-President, University Research and International. In addition, the UTPPC shall include two non-voting student members, one undergraduate and one graduate, appointed by the Vice-President, Academic & Provost in consultation with the President of the Federation of Students

and the President of the Graduate Student Association. The UTPPC shall be advisory to the President on individual tenure, permanence and promotion cases, and on the comparability of standards across the University.

### **University Tenure, Permanence and Promotion Advisory Committee (UTPPAC)**

The UTPPAC shall consist of the Chair plus six additional tenured or permanent faculty members jointly appointed by the Vice-President, Academic & Provost and the FAUW President for three-year terms. A majority of the UTPPAC's appointed members shall be from the tenure stream and at least five shall be at the rank of Professor or Professor, Teaching Stream. Additionally, the committee should include both men and women and should include at least one member from the Teaching Stream. The UTPPAC Chair shall appoint a member of UTPPAC to each FTTPC, with no member serving on the FTTPC in their own Faculty. Otherwise, members of UTPPAC may not serve on any DTPPC or FTTPC.

The UTPPAC is advisory to Senate through the Vice-President, Academic & Provost concerning tenure, permanence and promotion standards, policies and procedures, and may recommend changes to the Vice-President, Academic & Provost. UTPPAC shall report to Senate annually on its activities.

## **6. TENURE AND PROMOTION PROCEDURES**

### **Application for tenure or promotion to Professor**

The candidate shall inform the department Chair in writing by June 1, and shall meet with the Chair to discuss the procedures to be followed.

#### **Candidate's brief**

For candidates in the Tenure Stream, by July 1 the candidate shall submit a brief supporting the application for tenure or promotion. The 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 to the DTPPC and FTTPC. The candidate must also submit, by July 1, the names of at least three arms-length external referees who can assess their published work.

For candidates in the Teaching Stream, by July 1 the candidate shall submit a brief supporting an application for permanence or promotion. The brief must include a curriculum vitae, a summary of evidence of the candidate's contributions in teaching, in service, and in scholarship (where relevant), along with a teaching dossier and other relevant information the candidate feels may be useful to the DTPPC and FTTPC. The candidate must also submit, by July 1, the names of at least three referees, as described in more detail later in this Policy.

The teaching dossier should include the following sections:

- Teaching Responsibilities
- Statement of Teaching Philosophy
- Strategies Used to Teach Effectively

- (Optional) Scholarship
- Educational Leadership (required for promotion to Professor, Teaching Stream)
- Evidence of Teaching Effectiveness
- Goals in Future Teaching along with Appendices

### **Annual Performance Reviews**

The Chair shall provide the DTPPC with copies of all written assessments made of the candidate within the department.

### **Referees for Tenure Stream candidates**

For candidates in the Tenure Stream, external opinions of a candidate's scholarly contributions are sought in all tenure and promotion cases; normally at least three external reviews are obtained. External referees shall be both external to UW and at arms-length from the candidate.

The DTPPC shall consider the candidate's list of referees and normally will suggest additional names. After consulting with the Dean, the Chair shall inform the candidate of the pool of potential referees. The candidate may challenge, in writing to the DTPPC, a potential referee for bias, apprehension of bias, perceived conflict of interest or unsuitability. If the DTPPC and the candidate do not agree on the pool of potential referees, at least half of the referees contacted must be from those approved by the candidate.

Letters soliciting comments from referees shall be sent by the Dean. Referees shall be sent copies of this Policy, and shall be asked to assess the candidate's scholarly work and, if possible, to compare it with the scholarly achievements of others recently tenured at their own institutions or others of similar standing. Informal contacts with potential external referees by the department Chair, DTPPC or FTTPC members, or the candidate are inappropriate.

### **Referees for Teaching Stream candidates**

For candidates in the Teaching Stream, confidential and objective assessments of the candidate's contribution in teaching are sought in all permanence and promotion cases. Normally at least three such reviews are obtained.

Appropriate expertise to evaluate a candidate in the Teaching Stream will generally require a substantial understanding of the culture of teaching at Waterloo and the opportunities for taking part in teaching activities both inside and outside of formal course-based teaching available to Waterloo faculty members. Where a referee is required for the assessment of educational leadership, this assessment will generally depend less on Waterloo-specific factors, although it will also benefit from an understanding on the referee's part of the opportunities that are available to faculty members at Waterloo. Since teaching contribution includes both activities that are part of formal course-based teaching and activities outside of formal teaching, as detailed in the University's Framework for Teaching Effectiveness and Addendum, the expertise required to evaluate a teaching contribution will be somewhat specialized and possibly highly variable. Those who count as appropriate referees will vary depending on the nature of the teaching contribution

the candidate has made. For candidates for permanence, at least two of the three referees will come from outside the candidate's department, though possibly from within their Faculty. For promotion to Professor, Teaching Stream, at least two of the referees must be from outside of the candidate's Faculty, one of which can be internal to the University and one of which must be external to the University.

The DTPPC shall consider the candidate's list of referees and normally will suggest additional names. After consulting with the Dean, the Chair shall inform the candidate of the pool of potential referees. The candidate may challenge, in writing to the DTPPC, a potential referee for bias, apprehension of bias, perceived conflict of interest or unsuitability. If the DTPPC and the candidate do not agree on the pool of potential referees, at least half of the referees contacted must be from those approved by the candidate.

In the cases of Assistant Professors, Teaching Stream or Associate Professors, Teaching Stream with a non-zero Scholarship weighting, a total of at least four referee letters must be obtained, at least two of which are from qualified external referees who provide an assessment of the candidate's contributions to Scholarship. If they are qualified and well-placed to do so, these referees may also be asked to assess the candidate's teaching.

Letters soliciting comments from referees shall be sent by the Dean. Referees shall be sent copies of this Policy and links to the University's Framework for Teaching Effectiveness and Addendum. Since a scholarship weighting greater than zero is unusual, in such cases the Dean will explain the size, duration, and reason for the scholarship weighting to facilitate fair assessment of the candidate's scholarly contribution by the referee. Informal contacts with potential external referees by the department Chair, DTPPC or FTTPC members, or the candidate are inappropriate.

### **Tenure, permanence or promotion file**

The tenure, permanence, or promotion file for a candidate consists of: all evidence considered by the DTPPC, the FTTPC or the President; the DTPPC assessment of the candidate's performance in teaching, scholarship (where relevant) and service; the outcome of deliberations by the DTPPC, the FTTPC and the President. The file shall also include the numerical record of votes taken, plus any written statements, including reasons, by DTPPC or FTTPC 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.

### **Conflict of interest**

A member of a tenure, permanence and promotion committee who has a conflict of interest in a particular case shall declare the conflict and shall be absent from the portion of committee meetings dealing with that case. In particular, no DTPPC or FTTPC member may attend those portions of meetings at which their own case is being considered (except when appearing as a candidate). If the Committee Chair has a conflict of interest, the committee shall elect another of its members to serve as Chair pro tem during the absence of the Chair.

### **Challenges**

Prior to consideration of a case, a candidate may challenge in writing any member or members of a DTPPC or FTPPC for bias, apprehension of bias or perceived conflict of interest. The committee, excluding the member challenged, shall decide whether the challenge is well-founded. If so, the challenged member shall not attend those portions of committee meetings dealing with the specific case. If the committee decides that a challenge is not well-founded, the challenged member shall participate, but the challenge becomes part of the record for any subsequent consideration or appeal.

### **Procedures at the Department Level**

The DTPPC shall meet to consider all applications from the department for tenure/permanence or promotion. It shall prepare an assessment of each candidate's performance in teaching, scholarship and service for Tenure Stream candidates. It shall prepare an assessment of each candidate's teaching and service (and, exceptional cases, scholarship) for Teaching Stream candidates. It shall decide whether to recommend tenure/permanence or promotion. The assessment should state clearly, and in detail, the evidence considered, the criteria applied to the evidence, the evaluation of the candidate in each of the relevant areas, and the emphasis placed on each area.

If a candidate's work intersects significantly with work in another academic unit, the Chair will normally ask an appropriate member or members of that unit for comment. The Chair shall forward to the DTPPC any written submissions assessing the candidate's qualifications for tenure/permanence or promotion.

If members of the DTPPC express significant reservations that could result in a negative recommendation, the Chair shall provide the candidate with a complete, suitably anonymized, copy of the tenure, permanence or promotion file, together with a written explanation of the nature of the reservations in sufficient detail to allow the candidate to respond. Within ten working days the candidate shall provide their written response (including any relevant new evidence) to the Chair for distribution to the DTPPC. The candidate may also choose to appear before the DTPPC and may choose to be accompanied by a UW academic colleague. The DTPPC shall not finalize its recommendation until the candidate has been given the opportunity to respond, as described above.

When the DTPPC has completed its deliberations, the Chair shall inform the candidate in writing of the outcome (including the basis for it, if negative), and shall forward the tenure, permanence or promotion file to the Dean for consideration by the FTPPC. When a negative recommendation has gone forward, the Chair shall inform the candidate that the FTPPC will review the case unless the candidate chooses to withdraw it.

### **Procedures at the Faculty Level**

The FTPPC shall consider all positive tenure, permanence and promotion recommendations from a DTPPC to ensure that the DTPPC has acted carefully and appropriately in its deliberations, that its recommendations are sound and that comparable standards are being applied from department to department. Negative DTPPC recommendations will also be reviewed unless the candidate has chosen to withdraw their case.

The FTPPC shall base its deliberations primarily on the report forwarded by the DTPPC. The DTPPC Chair (or delegate) normally will present the DTPPC recommendations to the FTPPC and will be available to answer questions, but shall not otherwise participate in the proceedings. In exceptional circumstances, the FTPPC may decide to contact additional referees; if such additional referees were not in the original pool of potential referees developed by the DTPPC, the candidate's right to challenge must be respected, as specified above.

If members of the FTPPC express significant reservations that could result in a negative recommendation, the Dean shall provide the candidate with a complete, suitably anonymized copy of the tenure, permanence or promotion file, together with a written explanation of the nature of the reservations in sufficient detail to allow the candidate to respond. Within ten working days the candidate shall provide their written response (including any relevant new evidence) to the Dean for distribution to the FTPPC. The candidate may also choose to appear before the FTPPC and may choose to be accompanied by a UW academic colleague. The FTPPC shall not finalize its recommendation until the candidate has been given the opportunity to respond, as described above.

When the FTPPC has completed its deliberations, the Dean shall inform the candidate in writing of the outcome (including the basis for it, if negative). For positive recommendations, the Dean shall forward the tenure, permanence or promotion file to the President. Negative promotion recommendations by both the DTPPC and FTPPC shall result in the promotion file being closed for that particular year. Otherwise, negative FTPPC recommendations will be forwarded to the President unless the candidate chooses to withdraw the case.

### **The President**

The President shall consider all tenure, permanence, or promotion recommendations forwarded by the FTPPC, together with the advice of the UTPPC.

If the President decides in favour of promotion, they shall inform the candidate and report the promotion to Senate and the Board of Governors for information. If the President supports the granting of tenure or permanence, they shall inform the candidate, recommend approval to the Board of Governors, and subsequently report the granting of tenure or permanence to Senate for information.

If the President decides against tenure, permanence or promotion, they shall inform the candidate in writing with reasons. In the event of a negative tenure, permanence or promotion decision, the candidate's appointment shall be extended as necessary to provide 12 months' notice from the date the candidate is informed.

## **7. TENURE, PERMANENCE AND PROMOTION APPEALS**

A negative tenure, permanence or promotion decision by the President may be appealed. Within ten working days of being informed of the negative decision, the candidate must submit written notice of intent to appeal to the UTPPAC Chair, who shall establish a three-person Tribunal to hear the appeal.

Members of the Tribunal normally shall be or shall have been Associate Professors or Professors at the University of Waterloo in the candidate's discipline or a related discipline. For cases involving Teaching Stream faculty members, Associate Professors, Teaching Stream or Professors, Teaching Stream in the candidate's discipline or a related discipline are also appropriate. They shall not have had any prior connection with the particular tenure, permanence or promotion consideration nor have had a close professional or personal relationship with the candidate.

The candidate and the President shall each propose at least three possible Tribunal members in accordance with the above criteria, and shall be given the opportunity to challenge in writing the names proposed by the other party with respect to the criteria or for bias, apprehension of bias or perceived conflict of interest. The UTPPAC Chair normally shall appoint the three Tribunal members from the names proposed, including at least one member proposed by each of the parties, and shall name one of the members as the Tribunal Chair.

If the UTPPAC Chair judges that it is not possible to establish an internal Tribunal meeting with the above requirements, one or more of the three Tribunal members may be external to the University of Waterloo. External members shall be or shall have been tenured Associate Professors or Professors at another Canadian university in the candidate's discipline or a closely related discipline. In cases involving Teaching Stream faculty members, Associate Professors Teaching Stream, Professors, Teaching Stream, or those holding equivalent ranks at another Canadian University may also be appropriate candidates. They shall not have had any prior connection with the particular tenure, permanence or promotion consideration nor have had a close professional or personal relationship with the candidate. The candidate and the President shall be given the opportunity to propose external Tribunal members and to challenge in writing external members proposed by the other party or by the UTPPAC Chair.

The Tribunal shall conduct its proceedings in accordance with the principles of natural justice. The Tribunal shall be provided with the complete tenure, permanence or promotion file, and shall schedule a hearing at which the parties may present arguments and submissions, and may call, examine and question witnesses. The candidate is entitled to be accompanied by a UW colleague. The burden of proof shall be on the candidate to demonstrate that the criteria for tenure, permanence, or promotion have been met.

The Tribunal shall decide by majority vote on the basis of the evidence submitted to it whether the criteria for tenure, permanence or promotion have been met. The Tribunal Chair shall forward a written decision, with reasons, to the candidate and the President, with copies to the UTPPAC Chair and the FAUW President. The decision of the Tribunal is final and binding on the candidate and the University, except that an alleged failure of the Tribunal to comply with the above procedures may be grieved under the grievance and arbitration provisions of the Memorandum of Agreement between the Faculty Association and the University.

## **SCHEDULE “C”**

The Parties agree to the following ‘Addendum’ to the University’s Teaching Effectiveness Framework. The Parties further agree that henceforth material changes to the Teaching Effectiveness Framework and Addendum (i.e., those likely to substantially affect determination of performance review scores for teaching and permanence/tenure/promotion) will require approval at FRC, since the Framework is now directly referenced in the Class F P76 and P77.

### **Addendum to the University’s Teaching Effectiveness Framework**

The University’s [Teaching Effectiveness Framework](#) identifies aspects of effective teaching that the University community recognizes as valuable. In addition to the items listed in the Framework, this addendum makes explicit some examples of activities that can count towards effective teaching. This is relevant to all Waterloo faculty members and instructors, but given the special nature and emphasis on teaching for Teaching Stream faculty, the addendum is of particular relevance to those holding such positions.

It is not intended that any of these activities or outcomes are required, only that performance review and tenure, permanence, and promotion committees should recognize that the following activities can also be considered as a valuable part of teaching:

- For Teaching Stream faculty, discipline-based scholarship and creative activity directly relevant to the faculty member’s teaching activities (unless the faculty member has a Scholarship weighting greater than 0%).
- Pedagogical and professional work that allows the faculty member to maintain a mastery of their subject area, including professional accreditations, if applicable.

The above list and activities and outcomes listed in the Framework are not intended to be exhaustive.

For consideration for promotion to Professor, Teaching Stream, candidates are expected to have a substantial positive impact on the quality of teaching and learning beyond the individual faculty member’s courses, the programs in which they teach, or on the students that they supervise. Such broader activities are called “Educational Leadership” in Policy 76 and Policy 77. Examples of activities considered to be educational leadership include, but are not limited to:

- Development of teaching resources, such as textbooks, open educational resources, or digital modules available for use by other instructors;
- Active engagement in the scholarship of teaching and learning;
- Promulgating new teaching or assessment practices, especially if these are adopted by others;



- Leadership roles in the development of new programs and new educational pathways for students;
- Successful and influential performance of teaching leadership roles at the program, departmental, faculty or University level (e.g., serving as a Teaching Fellow; leading a curriculum committee; serving as a peer reviewer of teaching);
- External educational leadership roles; and
- Support for the teaching development of others, including colleagues and graduate students through mentorship.

## **SCHEDULE “D”**

The University’s public messaging about a mediated agreement will include the following points:

- The University’s intentions for engaging in the process leading to the creation of professorial teaching ranks, and making the substantial investment involved in doing so, is a recognition of the value permanent teaching stream faculty will bring to the University.
  - They will be a reliable and committed group of excellent teachers delivering education at Waterloo both inside and outside of the classroom.
  - They will also, through their Educational Leadership efforts, enhance the culture of teaching and learning and help lead pedagogical innovations as the University evolves.
  
- These intentions are reflected in the structure of the agreement we have reached. Unlike other research intensive universities in Canada with a professorial teaching stream, the maximum teaching load for permanent stream and definite term teaching stream are the same. As such, financial incentives to hire definite term rather than permanent teaching stream faculty are minimized. Given the benefits permanent teaching stream faculty bring, it can be expected that definite term teaching stream appointments will occur only when there is a compelling practical or strategic reason for doing so.

## **SCHEDULE "F"**

### **MOU RE COURSE ASSIGNMENT MAXIMUMS AND TRANSITION TO TEACHING STREAM**

WHEREAS the University recognizes the value of permanent Teaching Stream faculty to enhance the culture of teaching and learning at the University of Waterloo through excellence in teaching both in and outside the classroom, as well as helping to lead teaching innovations as the University evolves;

AND WHEREAS the Parties recognize that the contributions of Teaching Stream faculty should be reflected in professorial titles and eligibility for permanence, and through other terms and conditions associated with this rank;

AND WHEREAS the Parties recognize that maintaining teaching excellence at the University of Waterloo depends on a reliable and committed teaching faculty and that Teaching Stream faculty contributing to this mission require transparent and consistent terms of employment and a pathway for career advancement that parallels the tenure stream;

AND WHEREAS the Parties reached an agreement regarding amendments to P76 and P77 and agree to the following transition provisions;

#### **A. Course Assignment Maximums**

1. The maximum course assignment for a teaching stream faculty member, (Assistant Professor, Teaching Stream; Associate Professor, Teaching Stream; Professor, Teaching Stream; Continuing Lecturer) with teaching weighting of at most 80% is 12 (0.5 credit) courses in a two academic year period. The maximum applies to all such teaching stream appointments, whether definite term, probationary or permanent.
2. Nothing in this Memorandum of Understanding precludes an individual Teaching Stream faculty member from voluntarily agreeing to teach additional courses on an overload basis (either for stipend or future credit), except where policy provisions forbid overload teaching in "one-in-six" terms. For clarity, where overload teaching is for stipend, there will be no accumulation of earned course reduction credits.
3. The contracted assigned course load for each Lecturer [including permanent adjustments made in a written agreement between the Lecturer and their Dean (or between the Lecturer and their Chair and approved by the Dean) that differ from their employment contract] will not increase as a result of transitioning to a new Teaching Stream rank. The parties further acknowledge that there may be units where there are established and longstanding practices that vary the assigned

course load for Lecturers (or perhaps just for Continuing Lecturers) from the contractually assigned load. These practices will be respected for an existing teaching stream faculty member who is employed as of the Implementation Date and whose history of assigned course loads is consistent with these practices. In the event of a dispute with respect to course load, this dispute will be addressed by a two-person committee jointly appointed by the Vice-President Academic and Provost and President of FAUW, which will make a final decision on each case.

## **B. Transition Provisions for Lecturers**

The parties agree to the following transitional provisions for all current Lecturers following implementation of the amendments to P76 and P77. For clarity, the rank and status of Lecturers shall transition as set out below as of September 1, 2024 or as soon as practicable thereafter (the "Implementation Date").

4. Continuing Lecturers shall have the choice of (i) transitioning to the rank of Associate Professor, Teaching Stream; or (ii) retaining their status as Continuing Lecturer. Lecturers will be asked to indicate their choice in writing on a schedule to be determined.
5. All Lecturers who are not Continuing Lecturers will transition to the rank of Assistant Professor, Teaching Stream with the following employment status:
  - a. Lecturers with a UARCed appointment and less than 5 years of employment as a faculty member on definite-term contract(s) as of the Implementation Date:
    - i. Lecturers will transition to Assistant Professor, Teaching Stream, Definite-Term.
    - ii. They will have a five-year maximum eligibility for definite-term appointments beginning as of the Implementation Date.
    - iii. Deans retain the discretion to determine, on a case by case basis, whether instead to offer an individual member a contract as probationary Assistant Professor, Teaching Stream without the need to conduct an additional UARCed search.
    - iv. Where a contract letter states that the member will be considered for continuing status, the Dean is obligated to offer a contract as probationary Assistant Professor, Teaching Stream.
    - v. Lecturers may appeal the Dean's decision with respect to (iv) to a two-person committee jointly appointed by the Vice-President Academic and Provost and the President of FAUW, which will make a final decision on each such case.

- b. Lecturers with five years or more of employment in a UARCed Lecturer appointment as of the Implementation Date:
    - i. Lecturers will transition to Assistant Professor, Teaching Stream, probationary.
  - c. Lecturers with a non-UARCed Lecturer appointment and less than 5 years of employment as a faculty member on definite-term contract(s) as of Implementation Date:
    - i. Lecturers will transition to Assistant Professor, Teaching Stream, Definite Term.
    - ii. They will have a five-year maximum eligibility for definite-term appointments beginning as of the Implementation Date.
  - d. Lecturers with a non-UARCed Lecturer appointment and 5 or more years of employment as a faculty member on definite-term contract(s) as of Implementation Date:
    - i. Lecturers will transition to Assistant, Professor, Teaching Stream, Definite-Term.
    - ii. The five-year maximum on definite-term appointments shall not apply.
6. Definite Term Lecturers shall have the right to maintain their current weighting as of Implementation Date, subject to any relevant provision of the Memorandum of Agreement. In particular, for Lecturers who currently have a scholarship component, this will continue, unless there is mutual agreement with their Chair and Dean to change this arrangement, as specified in 13.5.5.b of the Memorandum of Agreement.
7. Continuing Lecturers, whether they transition or not, shall have the right to maintain their current weightings. In particular, for those who currently have a scholarship component, this will continue, unless there is mutual agreement with their Chair and Dean to change this arrangement, as specified in 13.5.5.b of the Memorandum of Agreement.
8. Where a Lecturer transitions to a new definite-term appointment, the contract shall have the same end-date as their existing contract.
9. Where a Lecturer transitions to a probationary teaching stream appointment, Section 4 (“Timing and Criteria”) of P77 applies: a faculty member may be considered early for permanence based on their employment as a Lecturer at UW. Such early consideration requires the agreement in advance of the candidate and the DTPPC as well as the written agreement of the Dean.

10. All Lecturers/teaching stream faculty are eligible to apply for any advertised probationary teaching stream appointment for which they are qualified regardless of their current contract status.
11. Applications for continuing status which are ongoing in 2023/2024 shall not be impacted by amendments to P76 and P77. For those Lecturers who are successful in promotion to continuing status, paragraph 1 applies.
12. The Parties agree that references to “professorial ranks” or akin language in University policy or procedure predating the Amendments to P76 and P77 is to be interpreted as a reference to Tenure Stream faculty.
13. The University agrees that where a faculty member transitions from one appointment category to another as described in this Memorandum of Understanding, this shall not be considered to be a break in service for the purposes of pension and other employment benefits (“Break in Service”). Similarly, where a faculty member in one appointment category successfully competes for a position in another appointment category, the change in appointment will not be considered to be a Break in Service provided there is no break between the last day of appointment in the first category and the first day of appointment in another category.

### **C. Earned Course Reduction Transition Provisions**

14. In interpreting the below earned course reduction transition provisions, “earned course reduction” and “course reductions credits”, as well as the related procedures, are comprehensively described in P76 (4.B. Course Reductions).
15. Specifically, course reduction credits can be converted to earned course reductions at the rate of 13 course reduction credits for 1 earned course reduction (equivalent to a 0.5 unit).
16. The following earned course reduction transitions apply:
  - i. Definite-Term Lecturers who become probationary Assistant Professors, Teaching Stream after implementation of Policy 76 and 77 will be eligible for 1 earned course reduction while in their probationary position. In each Faculty, definite-term Lecturers becoming probationary Assistant Professors, Teaching Stream will be divided into three equal-sized groups, based on length of employment in their position. The group with the most seniority will receive 1 earned course reduction in their 2<sup>nd</sup> year as probationary Assistant Professors, Teaching Stream. The next group will receive 1 earned course reduction in their 3<sup>rd</sup> year as probationary Assistant Professors, Teaching Stream. The group with the least seniority will receive

1 earned course reduction in their 4<sup>th</sup> year as probationary Assistant Professors, Teaching Stream.

- ii. Continuing Lectures who become permanent Associate Professors, Teaching Stream will be granted “start-up” Course Reduction Credit as follows: (i) those with 8 or more years of employment as a Continuing Lecturer will receive 6 course reduction credits; (ii) those with at least 4 and less than 8 years of employment as a Continuing Lecturer will receive 3 course reduction credits.