

Administrator's Guide for Academic Promotion



For Department Chairs and Administrators
Of Basic Science & Clinical Departments
For Affiliated Institute Scientists

Last Revised: April 2013

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INTRODUCTION

The Department Scientist Promotion Committee and Dean's recommendations will be based on the evidence provided by the candidate and by those who evaluate the candidate's accomplishments (peers, students, external referees). Recommendations must be made by the Departmental Committee and the Dean, both of which will evaluate the case against the standards required, according to the criteria below. Final decision is made by the Provost.

SCIENTIST DOCUMENT: CLAUSE ON PROMOTION AND/OR GRANTING OF SEQUENTIAL TERM APPOINTMENT

Excerpted from: [Faculty Appointment and Promotion Procedures: Scientists Employed by Institutions Affiliated with The University of Western Ontario](#)

- (1) Scientists with Affiliated Limited-Term Appointments at the rank of Assistant Professor are eligible for promotion to Associate Professor with Sequential-Term status.
- (2) Scientists with Sequential-Term Appointments at the rank of Associate Professor are eligible for promotion to Professor and the renewal of Sequential-Term status.
- (3) The procedures and criteria for promotion and/or granting or renewal of Sequential-Term Appointments shall be in accordance with the procedures and criteria for promotion and granting of tenure as specified in the Promotion and Tenure Article of the Collective Agreement, except that
 - a) probation and tenure shall not apply;
 - b) the structure of the Department Promotion and Tenure Committee may be amended in these cases only to include one additional faculty member within the department holding an appointment under these Appointment and Promotion Procedures; and elected by the Department and, if applicable, one additional faculty member from the clinical department, selected by the Clinical Department; this committee will thereafter be called the Department Scientist Promotion Committee;
 - c) the performance to be assessed will be in the areas of academic responsibilities as outlined in the Letter of Appointment or Reappointment which will be included in the file; and
 - d) any grievances arising therefrom will be administered as outlined in Section C below.

No other part of the Collective Agreement shall apply unless specifically set out herein.

- (4) Promotion and the granting or renewal of Sequential-Term Appointments shall be considered by the Department Scientist Promotion Committee.
- (5) The Department Scientist Promotion Committee and Dean shall each forward a recommendation to the Provost.
- (6) The Provost shall either approve or deny the recommendation of the Department Scientist Promotion Committee and the separate recommendation from the Dean, and shall so notify the faculty member, the Dean and Chair of the Department.
- (7) The Provost's decision may be grieved in accordance with the procedures in Section C below.

COLLECTIVE AGREEMENT: CLAUSE ON PROMOTION AND TENURE

Excerpted from: [Collective Agreement - UWOFA](#)

1. Unless otherwise provided for in this Collective Agreement, this Article applies only to Members of the Bargaining Unit who are Full-Time members of the academic staff of the University with Tenured or Probationary Appointments.
- 1.1 This Article may also be used to provide process and criteria to enable consideration for Promotion of Members with Limited-Term Appointments who are at the rank of Assistant or Associate Professor and who have Academic Responsibilities in each of Teaching, Research and Service; however, the provisions for the granting of Tenure shall not apply.
- 1.2 For the purposes of this Article, Schools in the Faculties of Health Sciences and Schulich School of Medicine & Dentistry shall be treated in the same manner as Departments, and Directors of these Schools as Chairs.
2. The University of Western Ontario Act, 1982 empowers the Board of Governors to promote and grant Tenure to academic staff on the recommendation of the President. The Employer shall promote Members and grant Tenure to Members in accord with the provisions of this Article.
3. Promotion and the granting of Tenure by the Employer shall be on the basis of a sufficiently strong record of performance established by the candidate in Teaching, Research, and Service. The range of duties encompassed by each of Teaching, Research and Service is defined in the Article *Academic Responsibilities of Members*. The performance in Research shall be evaluated with reference to the national and international standards within the candidate's discipline. When a candidate is considered for Promotion and/or Tenure, evidence shall be provided to the Promotion and Tenure Committee so it can decide whether the candidate has established a record of performance consistent with the requirements above and in accord with the following criteria for evaluating the record of performance.
 - 3.1 The criteria for evaluating the candidate's record shall be:
 - 3.1.1 Performance in Teaching. The evaluation of performance in Teaching shall be based on a teaching record which may include any material deemed by the candidate to be relevant to the work of Teaching. The Chair or Dean shall formally solicit the written opinions of current and former graduate and undergraduate students and members of faculty about the candidate's performance in Teaching. The teaching record shall also include any available student evaluations of Teaching.
 - 3.1.2 Performance in Research. The evaluation of the record of performance in Research shall take into account quality, creativity and significance for the discipline and, where relevant, for the profession in question, as well as productivity. The research record may include any material deemed by the candidate to be relevant including non-refereed articles, unpublished *Promotion and Tenure* documents, works in progress and creative works as described in the Articles *Academic Responsibilities of Members* and *Annual Performance Evaluation*. However, in accord with Clause 3 of this Article, Promotion and the granting of Tenure by the Employer is on the basis of an established record of performance and not on the basis of potential to establish such a record; in evaluating the record of performance, unpublished documents, work in progress, and outcomes of activities in the area of Research that have not undergone peer review shall be weighted accordingly. The written opinion of at least three arm's-length experts in the candidate's area of specialization who are not members of the University shall be obtained.
 - 3.1.3 Performance in Service. Such contributions may take the form of administrative committee work, or other forms of significant Service which contribute to the University's functions.
 4. Each candidate for Promotion and/or the granting of Tenure is expected to establish a record of performance in each of Teaching, Research and Service.
 - 4.1 Subject to the provisions of Clause 4.2 below, the significance accorded to Teaching and Research shall be approximately equal and, in all cases, each shall be accorded greater significance than Service. The records of performance in both Teaching and Research must be sufficiently strong to warrant the granting of Tenure and/or Promotion at The University of Western Ontario. While a candidate must have achieved a satisfactory record of performance in Service, the meritorious performance of these duties shall not compensate for an insufficiently strong record of performance in Teaching or Research. However, an unsatisfactory record of performance in Service contributions may be an important factor in the denial of Tenure and/or Promotion.

- 4.2 The relative significance accorded to Teaching and Research by a Promotion and Tenure Committee shall be subject to any arrangements described in the Letter of Appointment and any arrangements made under any of the provisions of this Collective Agreement.
- 4.3 The conferral of the rank of Professor shall recognize high achievement in Teaching and Research. A candidate for Appointment at, or promotion to, the rank of Professor shall have sustained the record of performance in Teaching and in Research required to warrant Appointment at, or promotion to, the rank of Associate Professor, and shall also have established a record of performance in at least one of these criteria that significantly surpasses that standard.
 - 4.3.1 While the recommendation for Appointment or Promotion to the rank of Professor shall be based primarily on Teaching and Research, a candidate must also have established a significant record of performance in Service contributions.
 - 4.3.1.1 In assessing the record of performance in Teaching, Research and Service during consideration for Promotion to the rank of Professor, any alterations achieved through the provisions of this Collective Agreement that greatly increase the balance of a Member's workload in the area of Service shall be taken into account.
 - 4.3.2 Although sustained high achievement shall normally be expected of a successful candidate for the rank of Professor, length of service shall not be a criterion for Promotion.
5. Members on a Probationary Appointment shall receive an annual report from their Dean or designate (as described in Clauses 5.1 through 5.3 below) on their progress toward meeting the expectations for Promotion and/or Tenure described in their Letter of Appointment. This report shall be based on an annual interview between the Dean and the Probationary Member, as described in Clause 5.1 below; on consideration of the Probationary Member's Annual Performance Evaluation; and on written comments that the Dean may solicit from the Probationary Member, other Members, colleagues from the discipline within the University, and/or the Chair of the Department (if applicable). In his or her response to the Dean's solicitation of such comments, the Member may suggest the names of Members and/or colleagues in the discipline within the University from whom comments may be solicited. Where the Member does so, the Dean shall solicit comments from the individuals named by the Member.
 - 5.1 No later than April 30 of each Calendar Year, the Dean, or designate, shall hold an annual interview with each of the Probationary Members in the Faculty. An important purpose of these interviews is to provide mentoring for Probationary Members and for the Member to satisfy him/herself that he or she understands the expectations for meeting the criteria for Tenure. This interview shall address the Member's progress towards generating a record of performance in each of Teaching, Research and Service sufficient to meet the criteria for Promotion and tenure, and aspects of performance in each of these three areas that need to be strengthened. This interview shall also include discussion of the Probationary Member's Annual Performance Evaluation, while recognizing that the criteria for Annual Performance Evaluation are separate and distinct from the criteria for Promotion and Tenure. This interview need not occur if the Probationary Member has already been approved for Tenure in accordance with the provisions of Clause 18.4 of this Article.
 - 5.1.1 Those present at the annual interview shall be the Member, his or her Dean, or designate, and his or her Department Chair (if applicable). If the Member so wishes, and upon notice to the Dean, the Member has the right to be accompanied by a colleague from his or her Department or Faculty, or by a person appointed by the Association.
 - 5.1.2 Within two weeks of this interview, the Dean, or designate, shall provide a written report of the interview to the Member. This report shall comment on the progress being made by the Member in generating a record of performance in each of Teaching, Research, and Service that is sufficiently strong to satisfy the criteria for Promotion and/or the granting of Tenure, and shall advise the Member on any aspects of performance in each of the three areas that need to be strengthened. The report shall also be placed in the Member's Promotion and/or Tenure File, defined in Clause 6.4 of this Article.
 - 5.1.3 This report shall not include any additional comments or information other than a record of the discussion that took place in the interview.
 - 5.1.4 A Member has the right to respond to the report and this response, which shall be in writing and supplied to the Dean within two weeks of the Dean's report, shall be kept in the Member's Promotion and/or Tenure File alongside the original report.
 - 5.2 The reports produced in accord with Clause 5.1.2 above shall not be considered relevant to any decision affecting a Member's career beyond the decision to confer (or not to confer) Tenure and shall be included only in the Promotion and/or Tenure File.
 - 5.3 In the case of a Member who holds a Joint Appointment that is in more than one Faculty, a single annual interview shall be conducted with both Deans, or designates, present. Where applicable, the Chair(s) of the Departments where the Joint Appointment is held shall also be present.

6. For each Probationary Member at the rank of Assistant Professor or Associate Professor, a Promotion and Tenure File shall be established by the Dean, or designate, at the time of the initial Appointment of the Probationary Member.
- 6.1 A Promotion File shall be established by the Dean, or designate, for:
 - a) each Tenured Member at the rank of Associate Professor;
 - b) each Member with a Limited-Term Appointment eligible under the provisions of Clause 1.1 of this Article.
- 6.2 The Promotion and Tenure Committee of each Department or School or Faculty, excluding the Dean and external members, shall meet before November 30 in each year to consider the Promotion File of each Member of a Department or School or Faculty who is not already a Professor. The Committee shall provide its advice to the Dean on whether or not each such Member should be invited to undergo consideration for Promotion in the following year's cycle. In cases where the Committee advises that consideration is warranted, the Dean shall report the Committee's advice to the Member by December 20.
- 6.2.1 The provisions in Clause 6.5 below do not apply to this process.
- 6.3 In the case of a Member who holds a Joint Appointment that is in more than one Faculty, the File shall be established and maintained by the Dean, or designate, of the Home Unit designated in the Letter of Appointment.
- 6.4 The Promotion and/or Tenure File shall contain:
 - a) a copy of the *curriculum vitae*, submitted with the Member's Annual Report unless updated by the Member before March 1 of each year;
 - b) the Letter of Appointment provided to the Member at the time of the initial Appointment, and all revised Letter(s) of Appointment;
 - c) in the case of Probationary Members, the report of each annual interview with the Dean(s), or designate(s), along with the Member's response to the reports, if any; and
 - d) any documentation concerning arrangements made under any of the provisions of this Collective Agreement that alters the balance between the Member's duties in the areas of Teaching, Research and Service.
- 6.5 Subsequent to any consideration of the File under Clause 6.2 of this Article and at least one week before the Committee on Promotion and Tenure meets to begin its consideration and evaluation of the Promotion and/or Tenure File, the Dean, or designate, shall add the following to the Promotion and/or Tenure File:
 - a) an updated *curriculum vitae*;
 - b) a Teaching Dossier containing a teaching record as specified in Clause 3.1.1;
 - c) letters received following a public solicitation for comments on the Member's performance. Such public solicitation shall occur before the end of May of the Calendar Year in which the Promotion and/or Tenure File is to be considered by the Promotion and Tenure Committee. The soliciting document shall indicate that the purpose of the solicitation is to provide information about whether the candidate's performance of Academic Responsibilities meets the relevant criteria in Clauses 3 through 4.3.2 of this Article for Promotion and/or Tenure.
 - d) letters from at least three arm's-length referees, external to the University, and expert in the Member's discipline, commenting on the Member's performance in Research;
 - (i) the letters from the referees shall be solicited by the Dean of the Member's Faculty.
 - (ii) the referees shall be chosen by the Dean, from a list supplied by the Member. Where possible, the number of external referees listed by the Member shall be at least three times the number of external referees to be chosen. The Dean may add names to this list, but if he or she does so, the Dean shall provide a description of the qualifications of each referee suggested and the Member shall be allowed the opportunity to object in writing to the names added by the Dean on the grounds of their lack of expertise or because of some direct academic or personal dispute. Any such objection shall be placed in the Member's Promotion and/or Tenure File and shown to the Committee prior to a decision. Where possible, at least one half of the referees shall be chosen from the Member's list. Should any prospective external referee on the Member's list be unable or unwilling to serve, the Member shall, at the Dean's request, supply another name for the list.
 - (iii) the list of names supplied by the Member shall include a description of the qualifications of each referee, and of any previous interactions with the referee that might lead to a perception of bias in the referee's assessment of the Member's performance in Research.
 - (iv) where a Member's activities are in more than one disciplinary area, the Member may supply the list referred to in Clauses 6.5 d) (ii) and 6.5 d) (iii) of this Article in a manner that places each potential

referee into one of the relevant disciplinary areas, up to a maximum of three disciplinary areas. The referees shall be selected so as to ensure representation from, and expert comment on, the relevant disciplinary areas. Where the Member elects to provide lists of external referees in more than one disciplinary area, the number of external referees listed in each disciplinary area shall be at least three times the number of referees to be chosen from that disciplinary area, where possible. Should any prospective external referee in a disciplinary area of the Member's list be unable or unwilling to serve, the Member shall, at the Dean's request, supply another name for the list.

v) the Dean shall also provide to the referees the criteria for Promotion and Tenure as they are set out in Clauses 3 through 4.3.2, of this Article.

(vi) the Dean shall provide to the referees a brief statement from the candidate if the candidate feels such a statement is necessary to convey an adequate picture of his or her achievements.

e) any written submissions that the candidate deems relevant to the case; and

f) a table of contents listing all documents in the Promotion and/or Tenure File, signed by the Member and the Dean, or designate.

6.5.1 Once the Member has signed the table of contents referred to in Clause 6.5 f) of this Article, no further documentation shall be added to the Promotion and/or Tenure File, except as provided for subsequently in this Article, or by mutual agreement of the Member and the Dean.

6.5.1.1 Any letters from external referees solicited by the Dean under the provisions of Clause 6.5 d) of this Article that arrive after the table of contents has been signed by the Member and before the Promotion and Tenure Committee meets to begin its consideration and evaluation of the File shall be added to the File. In such circumstances, the Member shall be given the opportunity to examine and copy the letter(s) (subject to the provisions of Clause 6.6 of this Article) at least seventy-two hours before the Committee on Promotion and Tenure meets to begin its consideration and evaluation of the File. During this time the Member may add to the Promotion and/or Tenure File under the provisions of Clause 6.5 e) of this Article.

6.6 A Member shall have the right to a copy of any document in his/her Promotion and/or Tenure File, including the letters of evaluation from the external referees solicited in accord with 6.5 d) above. However, in accord with the University's policy of maintaining confidentiality, before the Member receives a copy of a letter from an external referee, all traces of the letter's place of origin and authorship shall be removed.

6.7 It is the Member's responsibility to provide the items described in Clauses 6.4 a), 6.5 a), 6.5 b), 6.5 d)(iii) and 6.5 e) within four weeks of any request by the Dean that the Member do so.

THE PROCESS AT THE DEPARTMENT LEVEL

The process for Affiliated Institute Scientists is currently under review.

It is currently recommended that Basic Science Departments review all affiliated Institute Scientists appointed in their unit (primary appointment, or secondary appointment if they are the UWOFAs home).

For Institute Scientists whose primary appointment is in a clinical department, the basic science unit where the individual is cross appointed takes the lead on this process, in consultation with the clinical department. All references in this guide to “Chair” or “Departmental Administrative Officer” will refer to the basic science unit.

Spring

Once identified to be considered for promotion, the Chair should provide the Candidate’s Guide to each candidate. Be sure to inform candidates of the deadline(s) for return of this information. Below are some suggested deadlines. Submission of this material prior to these deadlines is acceptable. Material should be provided to the Department Chair.

CV – March 1

List of Potential External Referees - July 6

List and copies of Publications - July 6

List of Colleagues and Students to be Solicited - July 6

Teaching Dossier - July 31

Any Written Material relevant to Case - ie. Candidate’s Statement - July 31

As candidates return information, the Chair and Departmental Administrative Officer should check to ensure that it is complete, accurate and up-to-date. It is recommended that the Administrative Officer collect the information in a three ring binder. Information should be set up in standard sections within the binder, following the order of the sample Index of Contents. Dividers indicating each section are required.

The Chair and Dean will discuss the list of potential external referees, which should include three times the number of potential referees than the Department wishes to solicit. If the Dean adds names to the list, the Member will receive the amended list and will be given the opportunity to provide any objections in writing within 1 week, and will sign off on the final list of referees. These objections must be added to the promotion file. The sign-off will also apply to potential student and peer reviewers. The Chair will coordinate this information on behalf of the Dean.

The Department Chair prepares the letters to be sent out as follows. The letters are to be signed by the Dean but may be returned to the Department Chair.

- | | |
|--------------------------|--|
| (a) To external referees | Use the standard format provided, including any accompanying documentation (eg. Guidelines, CV, publications, Candidate’s Statement) |
| (b) To peers: | Use the standard format provided |

- (c) To students: Use the standard format provided
- (d) Public solicitation The Department Chair must also post a public solicitation notice, using the standard format provided

For students and peers, a copy of each kind of letter and a list of all the individuals to whom it was sent are placed in the candidate's file. The Administrator must indicate who responded, however, this information must be sanitized in the copy the candidate reviews. For external referees, a copy of the letter and supporting documentation sent and a list of all **potential** referees must be included. The Administrator must indicate who responded, and this information must be sanitized in the copy the candidate reviews.

If the candidate holds a cross appointment in another department or faculty, the Chair of that Department must be asked to comment on the candidate's contributions within that unit by the chair of the home unit.

Collect all statistical evaluations of teaching available for this candidate. These may come from the candidate, from department files and, for courses taught outside the Schulich School of Medicine & Dentistry, from the Faculties of Science, Health Sciences, etc. **The Chair should also provide a comparison of the candidate's performance in teaching with others in the Department.**

Insert reports received back from external referees, peers and students in the appropriate section of the candidate's file. Ensure that at least 3 external referees have provided reports.

NOTE:

Letters may be added to the dossier right up to the time that the candidate reviews and signs off on the dossier. Any solicited external letters received after the dossier has been signed by the Candidate but before the Scientist Promotion Committee has met, shall be added to the dossier. In this circumstance, the Member must be given the opportunity to examine the letter at least 72 hours before the Scientist Promotion Committee meets. The member, may according to the provisions of Clause 6.5e of the Promotion & Tenure, add to the dossier.

Summer/Fall

- Edit the sample Index of Contents / Signature Page as necessary.
- Add the Letters of Appointment provided to the faculty member.
- Add the Statements of Expectations for the entire period of the faculty member's appointments, back to the last promotion or to the initial appointment. This should include the home and secondary appointments.
- Add the report of each annual interview with the Dean, along with the Member's response to the reports, if any (if applicable).

- Arrange for the candidate to review a sanitized copy of the original dossier and sign the Signature Page acknowledging that the file is complete. The Department Chair, on behalf of the Dean, also signs the Signature Page.
 - NOTE: In the sanitized copy, the lists of external referees, peers and students who were solicited should not indicate who responded in any way, and the letters and reports must be edited to delete names, addresses, letterhead, references within the text which might identify the individual.
- If, at any time in the process, the candidate requests a copy of all or part of the sanitized dossier, they may be allowed to photocopy material, ensuring that the dossier does not leave the custody of the appropriate office and bearing any charges for the copying.
- Arrange for the Department Scientist Promotion Committee to review the dossier and make its recommendation. It is recommended that these meetings be scheduled early in the summer, particularly as the Dean is Chair.
 - It is vital that the Chair/Department Administrator communicate to the members of the Department Scientist Promotion Committee the nature of their appointment, both before the review of the file and at the meeting itself.
 - In the past, the Procedures and Previous Decisions of the Senate Committee on Appeals made a ruling which provided that when a Member of the Promotion and Tenure Committee missed a file review meeting, they were excluded from participating in any future deliberations and denied voting rights related to that file. On December 16, 2003 the Association and Administration agreed that under the Collective Agreement process, if someone missed a meeting they would still be allowed to deliberate and vote on the file in question. In short, and in the future, there would be no exclusion or denial of voting rights of Members who miss meetings during a committee's deliberations. Given this new position, you are encouraged to stress to Committee Members at their first meeting the importance of regular attendance at these meetings, even if this means rescheduling other commitments.
 - The structure of the Department Promotion and Tenure Committee may be amended in the case of an Institute Scientist only to include one additional faculty member within the department holding an appointment under these Appointment and Promotion Procedures; and elected by the Department and, if applicable, one additional faculty member from the clinical department, selected by the Clinical Department; this committee will thereafter be called the Department Scientist Promotion Committee;
 - It is the responsibility of the Dean as Chair and the Committee to provide the detailed case supporting the recommendation, in the form of a report or letter in the dossier. The recommendation of the Committee must be written by the Department Chair or Director and all members of the committee must sign the letter of recommendation. The Dean is required to write a separate recommendation letter. A sanitized copy of the recommendations of the Committee and Dean shall be sent to the Member.

- Complete a Dean's Summary Submission Form and place it at the front of the dossier before the Index of Contents.
- The original of any stenographic notes taken during a meeting of the Committee on Promotion and Tenure who is NOT a member of the committee must be placed in the dossier and are considered to be part of the File.

Prior to November 15th

Inform the candidate of the Department Committee's and Dean's recommendations in writing (sanitized copy of the letter of recommendation). If the Committee is considering a negative recommendation, it may request, in writing, additional information from the candidate. This information shall be added to the file. If after receiving the additional information the Committee is still considering a negative recommendation, the Committee must request, in writing, a consultation with the candidate. If the Committee is considering a negative recommendation or have concerns about a candidate's record of performance, please refer to the relevant clauses in the Promotion & Tenure Article on exact process to be followed.

Submit the completed original dossier and an electronic copy to the Dean's office at least **one week before the meeting**.

The Process Beyond the Departmental Level

All dossiers reviewed by the Department Scientist Promotion Committee and Dean are submitted to the Provost and Vice-President (Academic). The Provost shall either approve or deny the recommendations from the Committee and the Dean and shall notify the Member. The Provost may request additional information, a consult with the Dean or return the file to the Committee if he deems it to be appropriate. Please refer to the relevant clauses in the Promotion & Tenure Article.

Following approval by the Provost, promotion and/or change of status becomes effective on July 1st.

Table 1: Summary of Documentation Required

Item of Documentation	Status in Dossier
1. Index of Contents	Required
2. Signature Page	Required
3. Dean's Summary Submission	Required
4. Recommendation:	
a. Dean's Recommendation and Report	Required
b. Departmental Promotion & Tenure Committee's Recommendation and Report	Required
5. Letters of Appointment	Required
6. Statements of Expectations and Responsibilities	Required
7. Curriculum Vitae	
a. Initial	Required
b. Updated CV (if applicable)	Required
8. Candidate's Statement	Recommended
9. Teaching Dossier	Required
a. Evaluation of Teaching: Undergraduate	Recommended
b. Evaluation of Teaching: Graduate & Postgraduate (if applicable)	Recommended
c. Evaluation of Teaching: by Peers (if applicable)	Recommended
10. Public Solicitation	Required
11. Solicited Evaluation by Student Reviewers	Required
12. Solicited Evaluation by Peer Reviewers	Required
13. Solicited Evaluation by External Referees	Required
14. Publications for Critical Review	Required
15. Cross Appointments: Letters from Chair of Secondary Department (if applicable)	Required

Instructions regarding the Candidate's Guide

Before providing a copy of the Candidate's Guide to a candidate, please add a cover letter providing the type of promotion/status change being considered, any departmental details that may not be covered in this package and your deadline(s) for return of the information.

Tips on Dossier Preparation

When preparing the dossier for submission, please ensure the documents are placed in the following order in a binder large enough to accommodate the complete package:

1. Index of Contents - ensure all sections of the dossier are indexed in the proper order and identified with individual tabs
2. Signature Page - must be signed by candidate and Chair (using sanitized version of the dossier) after the file is complete but before the P&T Committee Reviews
3. Dean's Summary Submission Form - must be fully completed by the departmental administrator
4. Recommendations of Dean and Departmental Committee
5. Letter of Appointment – please sanitize salary and start up funds
6. Statements of Expectations and Responsibilities – if the home unit is in a clinical department, SERs from both the clinical home and UWOFA cross must be submitted.
7. CV
 - a. Initial CV – Dated, and noted as sent to externals
 - b. Updated (advise using a covering memo describing what has changed)
8. Candidate's Statement (if applicable)
9. Teaching Dossier
10. Copy of Public Solicitation
11. Student Responses –include a master list of available students, and identify those who responded, as well as a sample copy of letter used for solicitation
12. Peer Responses – include a master list of available peers, and identify those who responded, as well as a sample copy of letter used for solicitation (Attachment 5)
13. External Referee Responses – include a list of all potential external referees including academic rank and a brief biographical sketch outlining qualifications and a copy of the letter and guidelines used for solicitation. The list must include who may be asked to be a referee and who responded with a letter. The information about who responded must be sanitized in the dossier for the candidate.
14. Publications for critical review – may be sent out electronically via USB key or DVD, if the reviewer so prefers. The covering page listing the titles and author contribution must be included.
15. Letter from Department Chair of Secondary Appointment (if applicable) – this does NOT include the chair of the clinical department in the case of individuals whose primary appointment is in a clinical unit. The clinical unit has representation on the Department Scientist Promotion Committee with input on the final recommendation letter.

Notes on Student, Peer and External Referee Letters

It is important that external referees are “arms length” from the candidate. This means they must be individuals **who do not know the candidate well** (ie. not relatives, personal friends, co-authors, graduate teachers or thesis supervisors, former students, collaborators, co-workers, etc.) The departmental committee is expected to review the list carefully to ensure arms length before solicitation.

Sample Summary of Biographical Sketch of External Referees

Professor _____, is a world expert in the field of bioinorganic chemistry. He is editor of the highly regarded *Inorganic Biochemistry* and, at present is the Chief, Laboratory of Cellular and Molecular Biology, at the National Institute of Aging, NIH. His earlier positions included professorships at the University of Louisiana and Georgetown University. (See more samples in Attachment 8.)

The letters sent to the external referees, peers and students, must be signed by the Dean, however, the letters should be returned to you or the Department Chair. The Department is responsible for posting the public solicitation notice for comments on the candidate.

For all student, peer, external, as well as the public solicitation and recommendation letters, the following wording should be used:

Current Appointment Status	Current rank	Appropriate Statement
Institute Scientist (Affiliated Limited Term)	Assistant Professor promotion to Associate Professor and the granting of a Sequential Term appointment...”
Institute Scientist (Affiliated Limited Term)	Associate Professor promotion to Full Professor.....

Excerpt from the Office of Faculty Relations Guide

File Management:

- Clause 6.5 requires the addition of all items for the Promotion and/or Tenure File be completed at least one week prior to the first meeting of the Promotion and/or Tenure meeting.
- Once the Table of Contents has been signed by the Member, no further documentation may be added to the File unless: (1) there is mutual agreement between the Member and the Dean; or (2) a late external referee letter is received in which case the Member has at least 72 hours before the Committee meets to add any relevant written submissions to the File (Clauses 6,5,1 and 6.5.1.1).
- Any addenda to the File (e.g., last minute update to a CV) must be dated.
- Please refer to Clause 14.2.1 for the requirement to include stenographic or other notes. These notes MUST be sanitized when reviewed by the candidate.
- Faculties may wish to consider a list of referees with their biographical sketches as suggested on page 20. While the candidate's signature is not required under any policy or the Faculty Collective Agreement, you may wish to suggest this to Departments/Schools as an optional best practice.
- The call for public solicitation shall indicate the purpose of the solicitation is to provide information about whether the candidate's performance of Academic Responsibilities meets the relevant criteria in Clauses 3 through 4.3.2 of the *Promotion and Tenure* article. (Clause 6.5 c) (*Note changes to Request to Students for Feedback at page 20 Sample Public Solicitation at page 21*)
- If the Dean adds names to the referee list, the Dean shall provide a description of the qualifications of each referee suggested (Clause 6.5. d ii)).
- The Dean shall also provide to the referees the criteria for Promotion and Tenure as they are set out in Clauses 3 through 4.3.2 of the Article. (Clause 6.5. d v)) (*Note changes to Guidelines for External Referees*)

P&T Committee Membership:

- It is highly recommended that there be 3 opportunities for members (and potential members) to confirm their eligibility to sit on the Promotion and Tenure Committee: (1) when approached by or on behalf of any nominating committee; (2) over the summer after the Committee members have been elected and prior to any Committee involvement (this would catch those who might have just been appointed as Associate Dean (or Acting Associate Dean) or otherwise removed from eligibility on July 1; and (3) at the first meeting of the Committee.
- You may wish to consider electing replacements during your Committee election just in case a member is required to withdraw (Clause 14.1)
- If a member of the P&T Committee is to be considered for Promotion and/or Tenure, that member must retire from the Committee and a replacement elected (Clause 12). If a Chair/Director is being considered for Promotion and they are not an elected member of the Committee, the provisions of Clause 12 still apply, i.e., a replacement must be elected (clarified at Joint Committee 070926). This applies as well to Chairs/Directors who declare conflicts outlined in Clause 14.1.
- A careful read of the *Conflict of Interest and Conflict of Commitment* Article of the 2010-14 Faculty Collective Agreement Article is required. The Article applies to apparent conflict rather than potential conflict; and conflict may be asserted by anyone with knowledge of a conflict. The conflict can be asserted up to the point at which the decision is made. If a member of the Promotion and Tenure Committee has a conflict of interest or apparent conflict as described in the *Conflict of Interest and Conflict of Commitment* Article, the member must withdraw (i.e., not be present for any discussion of the case or the vote) from the consideration of the relevant case and a replacement shall be elected (Clause 14.1). This requirement should be pointed out to members of the Committee as soon as the roster of candidates is finalized in order to provide an opportunity to ensure a replacement can be

elected. Obviously, a member declaring a conflict at the first or a subsequent meeting of the Committee will cause an undue delay in the Committee proceedings while a replacement member is elected.

- The Dean may appoint a designate to the P&T Committee (Clauses 7 a), 8 a) and 9 a) b) and c)).
- Full-time Tenured Members are elected by UWOFA Members on Faculty Council (ie students, staff and Non-Members on Faculty Council do not get a vote) (Clauses 7 d),e) and 8 b), c))

Meetings:

- At the first meeting of the Committee, the P&T Committee chair should:
 - canvas the members to ensure they remain eligible to sit on the Promotion and Tenure Committee, as circumstances may have changed since they were elected;
 - stress to the members the importance of regular attendance at these meetings, even if this means rescheduling other commitments; and
 - review the Employment Equity Guide in detail and explain the committee's duties under the Article *Employment Equity (Clause 14)*.
- Ask if anyone is aware of actual or apparent conflicts of interest in this process and advise that any conflict shall be communicated to the Dean in accordance with the Article *Conflict of Interest and Conflict of Commitment*.
- Explain the requirements of committee confidentiality (Clause 14)
- Inform the external members of the Committee of their special responsibilities to ensure that the Committee's process and decisions benefit from comprehensive extra-Unit scrutiny. (Clause 14)
- All Committee members present for the vote, must vote, even if such a member has not been present at all previous meetings to consider the File. No member present may abstain (Clause 14.3). Proxy voting is not permitted. Note: the Dean who chairs the Committee shall not vote except to break a tie [Clauses 7 a); 8 a); 9 a)].
- The Promotion and Tenure Committee considers available Files for Tenure before reviewing Promotion only Files (Clause 14.4). Timelines for submission to Provost: Tenure Nov. 1; and Promotion only is Nov. 15. Note: The Committee may proceed with the Promotion only Files should all available Promotion and Tenure Files be delayed, until such time as a Promotion and Tenure File is ready for review.
- Quorum consists of the Committee chair and four of the seven voting members, including the Chair/Director of a Department or School, if applicable (Clause 14.2).

Recommendations:

- A Member may withdraw his/her File at any time prior to the Committee's formulation of a recommendation (Clause 16.2). If the candidate is a Probationary Member in his/her final year, the candidate will be terminated at the end of the Probationary appointment (Clause 16.2.2).
- If the candidate is a joint appointee across two Faculties, separate recommendations are required from each Dean (Clause 17.5).
- The Committee shall discuss the recommendation letter's content, and a draft of the letter shall be made available to Committee members for comment (Clause 17.2) (This can be done electronically.)
- To show each member of the Committee has been provided with the opportunity to sign the recommendation (Clause 17.2), list each Committee member's name at the end of the recommendation and provide a space for his/her signature. If the member was absent for the vote or declared a conflict, include a notation to that effect on the signature line. If the member was present for the vote but away at the time of signing the letter, an e-mail from the member indicating his/her acknowledgement that the electronic copy of the recommendation is an accurate rendering of the Committee's decision may be added to the File.

- The candidate may request a copy of the Committee's and Dean's recommendations which outline the reasons for arriving at such recommendations. Please ensure these letters are sanitized when provided to the candidate in the same way as external referee reports are sanitized.
- The Provost may consult with the Vice-Provost (Academic Planning, Policy and Faculty) and/or the Vice-President (Research and International Relations) regarding the File. Any such consultation shall be documented in writing, and this record shall be forwarded to the Member and to the Committee, and shall be included in the Promotion and Tenure file. (Clause 18.01)
- Where a Member chooses not to grieve the denial of Tenure, he or she shall be entitled to a one-year, Limited-Term, extension of appointment with no change in terms and conditions except by mutual agreement.

Presentation of the File:

- Please avoid using plastic sleeves in the P&T File where possible.
- If an external referee submits an evaluation by e-mail, please follow-up with a hard copy in the File.
- Electronic forms of the File may be made available provided that such Files are secure, and accessible only to the Committee members. In all cases, at least one hard copy of the File must be maintained.