

## Article 27: Duration of Agreement

- 27.1 This Agreement shall take effect on the 1st day of July, 2022, and shall expire on the 30th day of June 2024. This Agreement shall continue to be in effect until a new Agreement is concluded.
- 27.2 For the period of July 1, 2020 to June 30, 2022, the Collective Agreement for July 1, 2019 – June 30, 2020 remains in effect.

## Article 28: Tenure and Promotion

- 28.1 This Article applies to any application for:
- a) tenure,
  - b) promotion,
  - c) transfer between Teaching and Research and Teaching-Focused streams, and
  - d) renewal of tenure track appointment.
- 28.2 Any deviations from the provisions of this Article shall require the approval of the Provost and the Faculty Association.
- 28.3 For the purposes of this Article, the following shall apply:
- a) Academic Administrator: An academic administrator is a Head, Assistant Dean, Associate Dean, Vice Dean (not senior leadership), Associate University Librarian, Associate Vice Provost (Libraries and Cultural Resources), Associate Director (Student and Enrollment Services), and any others as agreed by the Provost and the Faculty Association. It does not include members of the senior administration. If the applicant currently holds an appointment as an academic administrator the Provost's Office and the Faculty Association shall discuss and agree on the appropriate modification to the process to be followed.
  - b) Advisor: An advisor is a Continuing, Contingent Term, or Limited Term member of the academic staff or a Faculty Association staff member who is selected by an applicant to accompany him or her in these processes. The applicant shall inform the committee chair or Provost, as appropriate, of the name of the advisor at least one day prior to the meeting. In any forum where s/he is acting in this capacity, an advisor has the authority to speak on behalf of, or along with, the applicant.
  - c) Dean means the Dean of the Faculty affected, or for those outside the Faculties, the Vice Provost (Libraries and Cultural Resources), the Vice Provost (Student Experience), or another individual as mutually agreed by the Provost and Faculty Association. The authority of the Dean may not be delegated.

- d) Faculties include Arts, Cumming School of Medicine, the Haskayne School of Business, Kinesiology, Law, Nursing, the Schulich School of Engineering, School of Architecture, Planning and Landscape, Science, Social Work, Veterinary Medicine, Werklund School of Education, Libraries and Cultural Resources, and Student and Enrollment Services. Those academic staff members outside of these Faculties will be dealt with by mutual agreement of the Parties.
- e) Head: In Departmentalized Faculties, the Head shall be the Department Head of the unit. In non-departmentalized Faculties, the Head shall mean the position normally designated by the Dean to prepare recommendations for promotion and tenure. The authority of the Head may not be delegated.
- f) Majority vote: A majority vote shall be said to exist where the number of positive votes exceeds the number of negative votes. Where the number of positive votes is the same as the number of negative votes, the Chair must vote to break the tie. The Chair shall not cast a vote, except to break a tie.

#### 28.4 Criteria

The criteria for renewal, transfer, tenure and promotion shall be established by the General Faculties Council (GFC). GFC's authority shall be limited to issues of criteria only (i.e. the academic standards upon which the transfer, renewal, tenure, or promotion shall be based). GFC may delegate the creation of Faculty Guidelines to the Faculty Councils to ensure the distinctive aspects of various disciplines are addressed in the application of the criteria. While the Faculty Guidelines may refine and interpret GFC's criteria, they may not add contradict or create new criteria unless specifically authorized to do so by GFC. Neither the GFC criteria nor the Faculty Guidelines shall add to or embellish on any of the processes established in this Article.

#### 28.5 Merging of Tenure and Promotion

When a person who holds the rank of Assistant Professor, Assistant Librarian, Assistant Archivist, Assistant Curator or Assistant Professor (Teaching) is awarded tenure, the award of tenure shall include promotion to the Associate rank. An Assistant Professor, Assistant Librarian, Assistant Archivist, Assistant Curator or Assistant Professor (Teaching) who holds a tenure track position may not apply for promotion prior to the award of tenure.

The granting of tenure includes promotion only for those who hold the rank of Assistant Professor, Assistant Librarian, Assistant Archivist, Assistant Curator or Assistant Professor (Teaching). For those who hold a tenure track appointment at any other rank the granting of tenure shall not include promotion to a higher rank. In those cases, promotion is a separate process.

Those who hold a limited term or contingent term appointment may apply for promotion using this Article; however, application for promotion does not affect the limited term or contingent term nature of that appointment.

28.6 Tenure Application Process

- 28.6.1 The normal time to apply for tenure shall be in the penultimate year of the tenure track appointment. Applicants may apply for tenure earlier than the penultimate year. In this situation, the same process and criteria shall apply as if the applicant applied at the normal time. Applicants may only apply for tenure twice.

Any person who, as of June 1, 2014, is a tenure track Associate Professor, Associate Librarian, Professor, Librarian or Associate Professor (Teaching) shall be eligible to submit an application for tenure on the regular schedule, without any consideration of promotion.

- 28.6.2 An applicant may withdraw his or her application at any time.

In the case of an academic staff member who applied for early consideration of tenure, the application may be withdrawn at any time on or before November 25. This withdrawal does not constitute a deferral nor count as one of the two allowed applications for tenure. However, if the withdrawal occurs after November 25, the application counts as one of the maximum of two allowed applications.

In the case of an applicant applying for tenure at the normal time, a withdrawal of the application without a deferral means that the applicant shall have no further opportunity to apply for tenure and the contract will lapse.

- 28.6.3 An academic staff member who is due to be considered for an appointment with tenure may be granted the following types of deferral. In all types of deferral, the tenure track appointment shall be extended for one year beyond the existing termination date. Such deferral, regardless of the number of times granted shall not interfere with the options of the Faculty Tenure and Promotion Committee (FTPC), Dean, Provost or Appeal Committee.

a) Personal Deferral:

At any time on or before November 25, but as early as possible, an academic staff member may defer consideration for a period of one year by notifying the Dean in writing. This deferral may be taken only once at the time of consideration of an appointment with tenure or at the time of renewal of tenure track. A personal deferral need not be taken before a Dean's deferral can be granted.

A personal deferral shall no longer be available after the FTPC has considered an application for tenure and provided a two-year extension.

b) Dean's Deferral:

A Dean may approve a one-year deferral for compassionate reasons, or when appropriate to deal with circumstances beyond the control of the applicant, or for any other reasons the Dean considers appropriate. Should a Dean's deferral be required more than once, the Dean shall seek approval from the Provost.

c) Parental Deferral:

Parenting Leaves shall result in an automatic one-year deferral of consideration for an appointment with tenure. This deferral does not preclude the academic staff member from applying for an appointment with tenure according to the original timelines, applying for early consideration, or being eligible for subsequent deferrals.

d) Provost Deferral:

In exceptional circumstances, the Provost may approve a request for a one-year deferral of consideration for an appointment with tenure.

28.6.4 By May 15, each academic staff member in the penultimate year of his/her tenure track appointment will be notified of the procedures to be followed for an application, where to find the GFC criteria and Faculty Guidelines, and the consequences of not applying. Each Dean will be provided with a list of the academic staff members from their Faculty or Department, copied to the Faculty Association.

28.6.5 By June 15, an academic staff member who intends to apply for tenure shall provide a declaration of their intention to the Dean's office.

The applicant shall provide a list of names of possible referees to the Dean as indicated below. If so desired, the applicant may also provide the names of individuals who should not be contacted (in which case those individuals will not be contacted) and this list shall be kept confidential by the Dean.

a) within the Teaching and Research stream:

the applicant shall provide the names and contact information for at least three referees external to the University of Calgary to comment on the applicant's scholarly work and service to the profession/discipline.

b) within the Teaching-Focused stream:

the applicant shall provide the names and contact information for at least three suggested referees internal (but external to the Department) or external to the University to comment on the applicant's teaching, scholarly work and pedagogical activities, as appropriate.

c) within librarian, archivist, curator, counsellor streams and other ranks:

the applicant shall provide the names and contact information for at least three suggested referees external to the University to comment on the applicant's scholarly work, professional activity, and service to the profession.

28.6.6 By September 1, all eligible academic staff who submitted a declaration by June 15 and who wish to be considered for tenure shall submit the items required as listed in Appendix 28 A. The onus is on the applicant to make the case for the award of an appointment with tenure and to provide all necessary information.

28.6.7 Application packages may be updated with relevant information whenever the applicant believes that the new information will have a significant impact on the review of his/her case. Up until the point that the Dean makes a recommendation to the Provost, such information should be provided to the Dean who shall copy the Head and FTPC. Following the Dean's recommendation to the Provost, new information should be provided to the Provost, copied to the Dean.

## 28.7 Promotion and Transfer Application Process

28.7.1 The promotion application process applies only to academic staff who hold a tenure track or tenured appointment at the rank of Associate Professor, Associate Librarian, Associate Archivist, Associate Curator and Associate Professor (Teaching) as well as to academic staff at any progressive rank who hold a limited term or contingent term appointment.

Effective June 1, 2014, any current Assistant Professor, Assistant Librarian, Assistant Archivist, Assistant Curator or Assistant Professor (Teaching) who has been previously granted tenure shall remain at their current rank with tenure. Such an academic staff member shall be eligible to submit an application for promotion to the next highest rank in their stream, without any further consideration of tenure.

28.7.2 By May 15, the Provost's office will send out a communique to all academic staff outlining the process to be followed for a promotion application, indicating where to find the GFC criteria and Faculty Guidelines.

28.7.3 By June 15, an academic staff member who intends to apply for promotion shall provide a declaration of their intention to the Dean's office.

The applicant shall provide a list of names of possible referees to the Dean as indicated below. If so desired, the applicant may also provide the names of individuals who should not be contacted (in which case those individuals will not be contacted) and this list shall be kept confidential by the Dean.

a) within the Teaching and Research stream:

the applicant shall provide the names and contact information for at least three referees external to the University of Calgary to comment on the applicant's scholarly work and service to the profession/discipline.

b) within the Teaching-Focused stream:

the applicant shall provide the names and contact information for at least three suggested referees internal (but external to the Department) or external to the University to comment on the applicant's teaching, scholarly work and pedagogical activities, as appropriate.

c) within librarian, archivist, curator, counsellor streams and other ranks:

the applicant shall provide the names and contact information for at least three suggested referees external to the University to comment on the applicant's scholarly work, professional activity, and service to the profession.

28.7.4 By September 1, all eligible academic staff who submitted a declaration by June 15 and who wish to be considered for promotion shall submit the items required as listed in Appendix 28 A. The onus is on the applicant to make the case for the award of promotion to the next rank and to provide all necessary information.

28.7.5 Application packages may be updated with relevant information whenever the applicant believes that the new information will have a significant impact on the review of his/her application. Up until the point that the Dean makes a recommendation to the Provost, such information should be provided to the Dean who shall copy the Head and FTTC. Following the Dean's recommendation to the Provost, new information should be provided to the Provost, copied to the Dean.

28.7.6 All of the provisions of Article 28.7 and 28.10 regarding promotion shall apply to the process of transfer between the streams, with the question being whether the academic staff member meets the criteria for the new rank. A tenured academic staff member may not apply for a rank that normally does not include tenure (i.e. Assistant ranks).

## 28.8 Renewal of Appointment Application Process

28.8.1 The normal time to apply renewal of a tenure track appointment shall be in the penultimate year of the contract, but applicants may apply for earlier than the penultimate year. In this situation, the same process and criteria shall apply as if the applicant applied at the normal time.

28.8.2 An applicant may withdraw his or her application at any time. In the case of an applicant applying at the normal time, a withdrawal of the application without a deferral means that the applicant shall have no further opportunity to apply for renewal and the contract will lapse.

28.8.3 An academic staff member who is due to be considered for renewal of a tenure track appointment may be granted the following types of deferral. In all types of deferral, the tenure track appointment shall be extended for one year beyond the existing termination date. Such deferral, regardless of the number of times granted shall not interfere with the option of the FTPC, Dean, Provost or Appeal Committee.

a) Personal Deferral:

At any time on or before November 25, but as early as possible, an academic staff member may defer consideration for a period of one year by notifying the Dean in writing. This deferral may be taken only once, either at the time of renewal of tenure track or at the point of tenure consideration. A personal deferral need not be taken before a Dean's deferral can be granted.

b) Dean's Deferral:

A Dean may approve a one-year deferral for compassionate reasons, or when appropriate to deal with circumstances beyond the control of the applicant, or for any other reasons the Dean considers appropriate. Should a Dean's deferral be required more than once, the Dean shall seek approval from the Provost.

c) Parental Deferral:

Parenting Leaves shall result in an automatic one-year deferral of consideration for renewal of a tenure track appointment. This deferral does not preclude the academic staff member from applying for consideration for renewal of tenure track according to the original timelines, applying for early consideration, or being eligible for subsequent deferrals.

d) Provost Deferral:

In exceptional circumstances, the Provost may approve a request for a one-year deferral of consideration for renewal of a tenure track appointment.

28.8.4 By May 15, each academic staff member will be notified of the procedures to be followed for an application for renewal of appointment based on his or her normal renewal date. This notification shall inform the academic staff member of the procedures to be followed and indicate where to find the GFC criteria and Faculty Guidelines, and the consequences of not applying. Each Dean will be provided with a

list of the academic staff members from their Faculty or Department, copied to the Faculty Association.

- 28.8.5 By June 15, an academic staff member who intends to apply for renewal of tenure track shall provide a declaration of their intention to the Dean's office.
- 28.8.6 By September 1, all eligible academic staff who submitted a declaration by June 15 and who wish to be considered for renewal of tenure track shall submit the items required as listed in Appendix 28 A. The onus is on the applicant to make the case for the award of a renewed tenure track appointment and to provide all necessary information.
- 28.8.7 Application packages may be updated with relevant information whenever the applicant believes that the new information will have a significant impact on the review of his/her case. Up until the point that the Dean makes a recommendation to the Provost, such information should be provided to the Dean who shall copy the Head and FTPC; following the Dean's recommendation to the Provost, new information should be provided to the Provost, copied to the Dean.

#### 28.9 Review of Renewal Applications

- 28.9.1 By November 3, the Head shall prepare an assessment and positive or negative recommendation based on his/her own review of the application for renewal of tenure track; and supply a copy of the assessment and recommendation to the applicant.
- 28.9.2 By November 10, the Head shall provide the applicant the opportunity to discuss the recommendation.
- 28.9.3 By November 18, following this discussion, the Head may revise the evaluation and provide a final assessment and recommendation in writing to the applicant concerned and the Dean.
- 28.9.4 If the Head's recommendation for renewal is positive, the Dean may:
  - a) recommend the two-year renewal to the Provost without referring the application to the Faculty Tenure and Promotion Committee;
  - b) forward the application to the Faculty Tenure and Promotion Committee for discussion prior to making a recommendation to the Provost.
- 28.9.5 If the Head's recommendation for renewal is negative, then the application shall be forwarded to the FTPC.
- 28.9.6 The applicant shall have the opportunity to respond in writing to the Head's recommendation by November 25. This response shall be submitted to the Dean as



Chair of the FTPC, with a copy to the Head. Such response shall be considered by the FTPC.

In the case of a negative recommendation from the Head, if the applicant does not reply, the Dean shall alert the Faculty Association and Faculty Relations Offices as soon as the response deadline has passed. To ensure that the process does not continue in the event that the applicant has abandoned the process, and to ensure the applicant understands the implications of not responding, the Faculty Association shall attempt to contact the applicant as soon as possible to establish whether the applicant wishes to continue with the application. If the applicant wishes to continue with the application, or does not respond to the Faculty Association, the application shall continue and be considered by the FTPC.

## 28.10 Review of Tenure/Promotion/Transfer Applications

### 28.10.1 Referee Comments

- a) By August 31, upon the receipt of a declaration of the intention to apply for tenure and/or promotion, the Dean shall develop a list of referees and ascertain their willingness to take on this role. The Dean retains the authority to select the referees, but must include at least one of the referees proposed by the applicant. The Dean must ensure that the referees are at arms' length from the candidate.

- For those applications in the Teaching and Research stream:

referees shall include at least three academics from outside the University who shall be invited to assess the quality and progress of the applicant's research and scholarly work and service to the profession/discipline.

- For those applicants in the Teaching-Focused stream:

referees shall include at least three academics internal (but external to the Department or faculty in non-departmentalized faculties) or external to the University who shall be invited to assess the quality and progress of the applicant's teaching and pedagogical activities. At least one of the referees shall be from outside the applicant's Faculty.

- For those applicants in the librarian, archivist, curator, and counsellor ranks, or other academic ranks:

referees shall include at least three academics or professionals, as appropriate for the nature of the position, to assess the quality and progress of the applicant's professional activity, scholarly work and service to the profession/discipline or equivalent.

- b) Once the applicants' materials are received, the Dean shall send the materials to the referees who have indicated a willingness to serve as a referee to obtain signed, written advice from these experts within the discipline or field of study. The Dean shall do so using the template agreed to by the Provost's Office and the Faculty Association.
- c) If, after receiving the letters from the referees, the Dean believes that one or more of the referee letters is inappropriate or is not sufficiently at arm's length and should not be considered as part of the process, the Dean may request permission to have the referee letter purged from the process. Upon receipt of such a request, the Provost and the Faculty Association shall decide on a course of action. If there is no agreement between the Provost and the Association, the letter shall be considered with the Dean's concerns noted.
- d) By October 22, the Dean shall supply the referee letters to the Head who will use them when writing the assessment and recommendation.
- e) The letters from the referees shall be held confidential to the Provost, Dean, Head, Human Resources, the Faculty Association and Committees operating under these procedures.

Any Freedom of Information and Protection of Privacy (FOIP) requests regarding access to referee or other documents need to be handled expeditiously. The University FOIP office shall be instructed to deal with such requests within one week.

- f) In cases where a recommendation for promotion to Professor has been denied in the past, recommendations in subsequent years shall include new letters from external referees, plus all letters of reference received in connection with the case for promotion in the preceding two years. An external referee used for a past application for promotion to Professor can be asked to submit an updated recommendation letter for the current application.

#### 28.10.2 Consultation Process

- a) By October 22, the Dean shall solicit signed written input from all academic staff above the introductory ranks in the department and, when appropriate, from individuals beyond the department or equivalent (for example, in the case of joint appointments and secondments), based on the template agreed to by the Provost's Office and the Faculty Association. The Dean shall supply a list of those to be consulted to the applicant. Should the applicant wish to add to the list, they may supply an additional list of individuals whose comments should be solicited, with reasons. These individuals must also be contacted by the Dean unless there is a valid reason not to do so, using the same template.

- b) By October 22, the Dean shall provide access to all input received to the Head and the Faculty Association.

### 28.10.3 Head's Review and Recommendation

- a) The Head shall review all the materials received as indicated in Appendix 28 A and shall prepare an evaluation of whether the applicant meets the criteria for tenure and/or promotion, including a recommendation on the application, providing detailed summary of all input received.
- b) By November 3, the Head shall supply the applicant with a copy of the evaluation and recommendation.
- c) By November 10, the Head shall provide the opportunity for the applicant to discuss the evaluation and recommendation. The Head may revise the evaluation and recommendation following this discussion.
- d) By November 18, the final evaluation and recommendation will be provided to the applicant and Dean. In the case of a negative recommendation, the Head must include information about the response process as outlined below.
- e) The applicant shall have the opportunity to respond in writing to the Head's recommendation by November 25. This response shall be submitted to the Dean as Chair of the FTPC, with a copy to the Head. Such a response shall be considered by the FTPC.

If the applicant does not respond in writing to a Head's negative recommendation, the Dean shall alert the Faculty Association and Academic Labour Relations as soon as the response deadline has passed.

To ensure that the process does not continue in the event that the applicant has abandoned the process, and to ensure the applicant understands the implications of not responding, the Faculty Association shall attempt to contact the applicant as soon as possible to establish whether the applicant wishes to continue with the application. If the applicant wishes to continue with the application, or does not respond to the Faculty Association, the application shall continue and be considered by the FTPC.

In the case of an applicant applying early, the application shall be considered to be one of the maximum of two applications from the applicant.

In the case of an applicant applying at the normal time, the applicant shall have no further opportunity to apply for tenure in the future and the contract shall lapse at its end date.

28.11 Consideration by the Faculty Tenure and Promotion Committee (FTPC)

28.11.1 Committee Composition

The FTPC is a Dean's Advisory Committee composed of the following members:

- a) The Dean (Chair), voting only in the case of a tie

Voting members:

FTPC Voting members must hold the rank of Professor, Professor (Teaching), Librarian, Curator, Archivist, Associate Professor, Associate Librarian, Associate Curator, Associate Archivist, Senior Counsellor, Associate Professor (Teaching), or a rank outside of the Teaching and Research, Teaching-Focused, or librarian/curator/archivist streams. Academic staff members electing the FTPC members and alternates must hold a Continuing, Contingent Term, or Limited Term appointment.

- b) Four academic staff members, plus an alternate, elected by academic staff in the Faculty (except in small Faculties of fewer than 30 Continuing, Contingent Term or Limited Term members, which may elect three (3) members plus an alternate). At least two of these elected members shall be full Professors, Professors (Teaching), full Librarians, full Archivists, full Curators, or Senior Counsellors. Each academic staff member will normally receive a 2-year appointment on a rotating basis. The members shall not be eligible for immediate reappointment to the FTPC at the conclusion of their term, to allow for variation in the committee membership over time.
- c) One academic staff member, from outside the Faculty, appointed by the Provost.
- d) One or Two academic staff members appointed by the Dean (specifically, to ensure gender and disciplinary representation, when necessary).
- e) In those Faculties with members in the Teaching-Focused stream, one additional academic staff member from the Teaching-Focused stream, plus an alternate, shall be elected as a full voting member of the committee.
- f) In Faculties where the number of Continuing, Contingent Term and Limited Term members exceeds 350, there shall be an additional member appointed in category b) above. In this case, the Dean may also appoint an additional member under category d).

Participating/Non-voting members:

- g) One student appointed by the Students' Union (except School of Architecture, Planning and Landscape.
- h) One student appointed by the Graduate Students' Association
- i) One academic staff member appointed by the Faculty Association

Quorum- FTPC may not meet unless:

- a) the following members are present:
  - i. the Dean (Chair)
  - ii. at least three of the elected academic staff members (two in small Faculties)
  - iii. the Provost's appointee
  - iv. the member appointed by the Faculty Association.
  - v. a voting member from the Teaching-Focused stream must be present for all cases from that stream
- b) both genders are represented among the voting academic staff members.

No member of the FTPC may send a substitute representative to any meeting.

No later than November 10, the applicant shall be informed of the members of the FTPC by the Dean. The applicant may request a replacement of an individual on FTPC due to a conflict of interest, or perception of a conflict of interest. The Dean shall utilize the alternate as the replacement. The request shall be directed to the Dean in the first instance unless the Dean is the subject of the request. If the Dean is the subject of the request, the request shall be directed to the or the Faculty Association, who jointly shall decide on a course of action.

28.11.2 Committee Procedures

- 28.11.2.1 By November 30, the Dean shall ensure that the committee members are given access to all required documentation and are oriented with respect to these procedures and the criteria relevant to the applications under consideration by the FTPC.
- 28.11.2.3 The committee members shall consider only the documentation provided by the applicant, Head or Dean in accordance with Appendix 28 A, along with the oral evidence presented by the applicant and Head. Committee members may not present additional information at the meeting.
- 28.11.2.4 Voting members shall normally not abstain and shall vote in an open process (not by secret ballot).

- 28.11.2.5 Committee members have an obligation to declare any situation that could be perceived as a conflict of interest. Such individuals shall be disqualified from viewing document for said applicant, attending the deliberations concerning the application and from voting on the application.

The Chair shall have the right to rule a member ineligible to vote or to require a member to withdraw from the deliberations of the FTPC if the Chair considers that a conflict of interest exists.

- 28.11.2.6 Between December 1 and January 15, the FTPC shall meet to review applications for tenure, renewal of tenure track, promotion and transfer between the ranks.

- 28.11.2.7 If half or less of the voting members of the FTPC are in favour of the recommendation that is sought by the applicant, the Dean shall declare a pause in the proceedings. The Dean shall inform the applicant, in writing, of the specific concerns identified by the FTPC, including the substance of adverse comments made by the referees and invite the applicant and the Head to a second meeting of the FTPC. The Dean shall consult with all FTPC members in drafting the letter in order to ensure all concerns of the FTPC members are adequately identified. The FTPC may request further information not already in evidence from the applicant or the Head. The Dean shall give all members of the FTPC a copy of this document.

The Dean shall give the applicant at least five (5) work days to respond in writing to the FTPC. However, if additional documentation is requested from the Head, the applicant must be provided at least five (5) work days from the date of receiving the documentation from the Head to review and respond before the second meeting of the FTPC. Any documentary information provided by the applicant shall be provided to the Head no later than the same time as it is provided to the members of the FTPC.

- 28.11.2.8 After the applicant's deadline to respond, but no later than January 31, the FTPC shall be reconvened.

The purpose of the second meeting is to allow FTPC to consider in more detail the application, based on the concerns raised in the Dean's letter, before voting on a recommendation to the Dean.

At any meeting where the applicant is invited to attend the FTPC, the applicant may be accompanied by an Advisor. If the applicant is unable or unwilling to attend, the applicant may authorize the Advisor to attend and speak on his or her behalf. In the presence of both the Head and the applicant (and the applicant's advisor, if the applicant so chooses) the FTPC may ask questions of either or both the applicant and Head in the other's presence.

If the applicant requests that the FTPC proceed without the attendance of the applicant or Advisor, the FTPC shall proceed; however the Head shall not be permitted to attend the meeting.

The applicant, Head and Advisor shall not be present during any of the deliberations of the FTPC following these presentations.

28.11.2.9 At this conclusion of this second meeting, the Chair shall proceed with a vote:

a) For applications for appointment with tenure:

- i) The Chair shall first ask the FTPC if the applicant should be awarded tenure. If there is a majority vote in favour, the committee's recommendation shall be for tenure.
- ii) If there is not a majority vote in favour of awarding tenure, the Chair shall ask if the applicant shall be allowed to continue the appointment subject to reconsideration by the FTPC in two years' time. If necessary, the contract shall be extended to be consistent with this timeline. Deferrals, other than personal deferrals, would still be possible. If there is a majority vote in favour, this shall be the committee's recommendation.
- iii) if there is not a majority vote in favour of either of the questions above, then the FTPC's recommendation shall be to allow the appointment to lapse.

b) For applications for renewal of tenure track

- i) The Chair shall first ask the FTPC if the applicant should be awarded a two-year renewal. If there is a majority vote in favour, the committee's recommendation shall be for renewal.
- ii) If there is not a majority vote in favour, then the FTPC's recommendation shall be to allow the appointment to lapse.

c) For applications for promotion:

- i) The Chair shall ask the FTPC if the applicant should be awarded a promotion. If there is a majority vote in favour, the committee's recommendation shall be for promotion.
- ii) If there is not a majority vote in favour, then the FTPC's recommendation shall be that a promotion not be awarded at this time.

d) For applications for transfer between the streams:

- i) The Chair shall ask the FTPC if the applicant should be awarded a transfer between streams. If there is a majority vote in favour, the committee's recommendation shall be to approve the transfer.
- ii) If there is not a majority vote in favour, then the FTPC's recommendation shall be that a transfer not be granted at this time.

28.12 Dean's Recommendations

28.12.1 Upon receipt of the FTPC's advice, the Dean shall prepare a recommendation to the Provost, considering only the documentation provided by the applicant, Head or Dean in accordance with Appendix 28 A, along with the oral evidence presented at the FTPC.

No later than February 7, the Dean shall write to the Provost outlining the FTPC's recommendation, the vote results, the Dean's recommendation, and the supporting rationale for the recommendation, including the essence of any critical comments provided by the external referees. This letter shall be copied to the applicant, the Faculty Association and Human Resources.

28.12.2 If the recommendation is less than what the applicant applied for, the Dean shall send a separate letter to the applicant noting the process and deadline for appealing the recommendation.

28.12.3 By March 1, the applicant shall have the opportunity to submit a written appeal of a Dean's recommendation to the Provost.

28.12.4 After the Dean's recommendation has been made, applications shall be processed as follows:

- a) Applications for renewal of a tenure track appointment or an appointment with tenure shall be reviewed by the Provost
- b) Applications for promotion to Professor or Professor (Teaching) shall be reviewed by the Promotion Review Committee
- c) Applications for promotion of limited term and contingent term academic staff to Associate Professor, Associate Professor (Teaching), Associate Librarian, Associate Curator, Associate Archivist, Librarian, Curator, Archivist, and within the Counsellor ranks or other ranks or transfer will be processed per the Dean's decision, subject only to an appeal to the Promotion Review Committee.



28.13 Provost's Review of Renewal of Tenure Track Appointments and Appointments with Tenure

28.13.1 The Provost shall review all recommendations regarding renewal of tenure track appointments and granting appointments with tenure.

28.13.2 Prior to making a decision regarding a tenure or renewal of tenure track application or in responding to an appeal the Provost may:

a) seek advice from members of FTPC

b) request a meeting with both the applicant and the Dean but not necessarily together in the same meeting. The applicant may be accompanied by an Advisor. In the request for the meeting, the Provost shall communicate to the applicant the concerns about the application.

28.13.3 In making the decision about the tenure or renewal of tenure track application or appeal, the Provost may:

a) make a decision consistent with the options available under Article 28.11.2.9 a) and b) Such a decision may be appealed by the applicant to the Tenure Appeal Committee, except where the Provost is confirming the recommendation of the Dean and the applicant did not appeal to the Provost; or

b) in the case of an appeal, immediately refer the matter to the Tenure Appeal Committee; or

c) send the application back to the FTPC for reconsideration, and the process will recommence from that point. In the case of reconsideration, the Provost and Faculty Association will establish a new timeline for the process. The Provost may only send the application back to the FTPC once.

28.13.4 By March 15, The Provost shall communicate this decision to the applicant, copied to the Dean, Head, and the Faculty Association.

If the Provost overturns the positive recommendation of the Dean, the Provost shall convey this to the applicant and the Dean, providing reasons as they relate to the criteria for tenure/renewal of tenure track.

By April 1, an applicant may appeal a tenure or renewal of tenure track decision of the Provost to the Tenure Appeal Committee, by submitting a letter of appeal which includes the grounds for the appeal to the Vice President (Research). Any additional material the applicant wishes the Appeal Committee to consider shall be attached to the letter of appeal.

Unless the applicant appeals, the Provost's decision regarding a tenure or renewal application shall come into effect as of July 1.

28.14 Tenure Appeal Committee

28.14.1 A Tenure Appeal Committee (TAC) shall be composed of the following members:

- c) three (3) academic staff members holding appointments with tenure, jointly appointed by the Vice-President (Research) and the Faculty Association, including both genders. The Vice-President (Research) and the Faculty Association shall designate one of these members as Chair; and
- d) one (1) non-voting member appointed by the Faculty Association.

None of the persons on the committee shall be from the applicant's Faculty or Unit.

28.14.2 The TAC shall review the letter of appeal, the academic staff member's original application, all documentation considered by the FTPC, correspondence from the Dean to the appellant regarding the deliberations of the FTPC, any documentation considered or produced by the Provost, plus any additional material submitted by the appellant with the letter of appeal. The TAC may request any additional information it deems appropriate..

28.14.3 The Faculty Association may make a submission regarding process, which must be considered by the TAC.

28.14.4 The TAC shall interview the appellant together with the Provost. If they so choose, the TAC may interview members of the FTPC. If they do so, they may do so in the absence of both appellant and Provost.

28.14.5 At any TAC meeting where the appellant is in attendance, the appellant may be accompanied by an Advisor.

28.14.6 The TAC may uphold the appeal, deny the appeal, or award an extension where appropriate (as per Article 28.11.2.9).

28.14.7 The TAC shall report their decision to the appellant, copied to the Dean, Provost, Vice President (Research), and Faculty Association, no later than June 1.

28.14.8 A decision of the TAC to grant tenure and/or promotion (as appropriate), shall come into effect as of July 1.

28.14.9 The decision of the TAC shall be final and binding.

28.15 Promotion Review Committee (PRC)

28.15.1 Recommendations for promotion to Professor or Professor (Teaching) and any appeals of promotion or transfer recommendations, shall be reviewed by the Promotion Review Committee (PRC).

28.15.2 Committee Composition

The PRC is composed of the following members:

- a) The Provost (Chair),
- b) six (6) voting academic staff members including both genders, jointly appointed by the Provost and the Faculty Association;
- c) two (2) non-voting academic staff members, selected by the Faculty Association, from different Faculties.

Quorum- PRC may not meet unless:

The following members are present:

- i) The Provost (Chair);
- ii) three of the voting members, including both genders; and one non-voting member.

No member of PRC may send a substitute representative to any meeting

The membership of the PRC will be made public.

28.15.3 Committee Procedures

28.15.3.1 It is the responsibility of the Provost to ensure that all participating committee members are oriented with respect to these procedures and criteria to be used in the deliberations of the PRC.

28.15.3.2 The Faculty Association may make a submission regarding any promotion process dealing with an application before the Committee, which must be considered by the PRC.

28.15.3.3 The PRC review shall consider only the documented evidence provided by the applicant, Head, or Dean in accordance with Appendix 28 A, along with oral evidence presented by the applicant and Dean. This information may be supplemented by material included in an appeal from the applicant. Committee members may not present additional information at the meeting.

- 28.15.3.4 Each voting member of the PRC shall have one vote. The Chair shall not cast a vote, except to break a tie. Decisions shall be decided by majority vote.
- 28.15.3.5 PRC members have an obligation to declare any situation that could be perceived as a conflict of interest. Such individuals shall be disqualified from attending the deliberations concerning the case and from voting on the decision. PRC members shall not attend deliberations on cases from their own Faculty.
- 28.15.3.6 The PRC shall normally meet during the month of April.
- 28.15.3.7 In every case where the PRC is considering making a determination that a positive recommendation for promotion to full Professor should be denied, the Chair shall inform the applicant, the Dean and PRC, in writing, of the concerns identified by the Committee, including, if appropriate, the substance of adverse comments made by the referees.

The applicant and the Dean of the relevant Faculty shall be invited to meet with the Committee to discuss the original recommendation before the Committee makes its decision. An applicant invited to attend PRC may be accompanied by an advisor. If the applicant is unable or unwilling to attend, the applicant may authorize the Advisor to attend and speak on his or her behalf, by informing the Chair. If the applicant requests that the PRC proceed without the attendance of the applicant or Advisor, the PRC shall proceed; however the Dean shall not be permitted to attend the meeting.

- 28.15.3.8 Appeals and cases where PRC invites the applicant to appear shall be handled by PRC using the following procedures:
- a) PRC shall interview the appellant/applicant together with the Dean.
  - b) PRC will deliberate after the appellant/applicant, Dean and Advisor (if utilized) have departed.
  - c) PRC may uphold or deny the appeal, or send the case back to the FTPC to reconsider. Normally the PRC will only send back a case to the FTPC to deal with procedural deficiencies related to consideration of the case. The PRC may only send a case back to the FTPC once.
- 28.15.3.9 By May 7, the PRC shall provide a decision in writing to the applicant, copied to the Dean, Head, and Faculty Association. The decisions of PRC are final and binding.

28.16     Promotion on appointment as Senior Leadership Team Member

The appointment of an academic staff member to a position as a senior leadership team member shall simultaneously result in the promotion of the academic staff member to the highest rank within his or her stream.

This Article shall not apply to academic staff members appointed as a senior leadership team member on an interim or acting basis.

28.17     Salary Adjustment following Promotion

Academic staff members who have a successful application for promotion shall receive an additional 1.0 increment on the July 1 following their approval.

## Appendix 28 A: Documents for Tenure, Promotion, Transfer and/or Renewal Process

(referenced in Articles: 28.6.6; 28.7.4; 28.8.6; 28.10.3; 28.11.2.3; 28.12.1; 28.15.3.3)

### **Materials required from applicant:**

- Cover letter (normally 3 to 5 pages) that includes highlights of teaching, research and service contributions, as well as other important aspects related to their academic career
- Up to date (as of 1 September) CV to include (as appropriate to job duties and rank) but not limited to: personal information such as position, Department (if appropriate)/Faculty, education, work experience, teaching experience (including a list of courses taught), scholarly productivity, peer reviewed funding, student supervision, professional and University service
- If in the Teaching and Research stream, the applicant shall identify up to 5 works that best represent his/her scholarly accomplishments. If electronic links are not possible in all cases, then of items in hardcopy form are acceptable. The referees, committees, Dean, and Provost shall confine their review of scholarly materials to these items identified by the applicant. If there are issues with copyright, the applicant and the Dean shall discuss how to proceed.
- A teaching dossier (where the appointment includes registrar-scheduled teaching as the Instructor of Record)\*.

*\*A teaching dossier is a document that contains carefully selected and assembled materials which are reflective of one's preparation, thoughtfulness, and innovation in teaching, and represent evidence of one's achievements in teaching.*

### *A teaching dossier must include:*

- *a statement on teaching philosophy,*
- *teaching strategies, and*
- *evidence of teaching effectiveness, including:*
  - *a list of courses for which USRI surveys are available, in accordance with GFC policy,*
  - *faculty specific teaching evaluation instruments if available (maximum of 5 courses) as selected by the applicant, and*
  - *summative evaluations by peers, supervisors and the community if required by Faculties or Units.*

### *A teaching dossier may include:*

- *awards, honours and recognitions,*
- *teaching and learning research,*
- *educational development and leadership,*
- *curriculum development,*
- *teaching in clinical or non-traditional settings (for example: land-based, online and experiential), and*
- *evidence of mentorship.*

**Materials at the applicant's discretion in addition to above:**

- Signed letters commenting on teaching, scholarly activities, or service
- Citation or index information related to scholarly activity
- Should the applicant wish to add to the list for internal consultation, they may supply an additional list of individuals whose comments should be solicited, with reasons.
- Other materials that provide background to the academic work of the academic staff member in accordance with the criteria for tenure or the rank being sought.

**Materials Head uses in producing written assessment:**

- All materials submitted by the applicant
- Referee letters (on letterhead and signed)
- Signed comments from tenured academic staff and those others suggested by applicant (Article 28.10.2)
- Publicly available citations or indices of scholarly quality as specifically enumerated in the GFC or Faculty criteria document.
- Signed documentation between the Head and applicant on past academic performance which was in the Dean's official file (i.e. Heads' assessments; formal letters, etc.)

**Materials Head is required to submit to FTPC:**

- All materials submitted by the applicant
- Referee letters (on letterhead and signed)
- Head's summary of written input from all tenured academic staff and those others suggested by applicant as required by Article 28.10.2
- Specification of any indices of scholarly quality used in Head's assessment as specifically enumerated in the GFC or Faculty criteria document
- Head's assessment letter to Dean

**Material Dean is required to submit to FTPC:**

- list of referees who provided letters and whether they were from Dean's or applicant's list. (see Article 28.10.1)
- Response of applicant to Head's assessment and recommendation, if submitted (Article 28.10.3e)

**Material Dean is required to submit to Provost:**

- all material provided by the applicant, Head and Dean to the FTPC
- the Dean's recommendation to the Provost as per Article 28.12.1