

Tenure and Promotion Workshop, Fall 2023

Office of Provost (Jennifer Pettit)
and the
Mount Royal Faculty Association (Lee Easton)



Today's Workshop

- ▶ The Collective Agreement requires workshops for TC, PC and UTPC members and alternates.

- ▶ Topics to include:
 1. Overview of process and systems
 2. General criteria for tenure and promotion in the Collective Agreement
 3. Evidence of standards approved by General Faculties Council
 4. Responsibilities of committee members
 5. Principles of due process and natural justice

The Mount Royal Tenure and Promotion System

- ▶ The Collective Agreement (esp. Articles 9–11 & Appendix A)
 - Core principles, structure, processes and timelines
 - Negotiated between the MRFA and the Board of Governors
- ▶ Institutional academic policy
 - Institutional criteria; per-Faculty “detailed criteria”
 - Also: Tenure and Promotion Handbook (in MyMRU, Faculty Tab)
 - Formerly called the “Tenure and Promotion Guidelines” – this Handbook was approved by GFC and is in effect as of July 1, 2017
 - Specifies forms, dossier format, etc.
 - Provides guidance for all participants in process
 - Describes how to handle a variety of scenarios that can arise
 - Far more information than the CA

Information/Resources

- ▶ A Tenure and Promotion portal is available on MyMRU under the “Faculty” tab
- ▶ Includes links to:
 - Approved *T&P Criteria*
 - Current *T&P Handbook*
 - Forms
 - Collective Agreement
- ▶ MRU has an online dossier format in *D2L*– see the *Handbook* including Appendix F (currently being revised to reflect move to D2L). We are using Google Drive for promotion to full professor dossiers.

Dossiers

- ▶ The dossier template for tenure is created in D2L for the candidate and they populate it with their documents. For promotion to full, the template is created in Google Drive.
- ▶ The template and content for the tenure dossier is more defined than for the promotion dossier
- ▶ Candidates for tenure may not add missing items once their dossier has been submitted
- ▶ See the *Tenure and Promotion Handbook* for more information about dossiers
- ▶ **Importance of meeting deadlines!!!**

Basic Definitions

▶ Meaning of Tenure

- Tenure is a permanent appointment representing a major commitment between the institution and the employee, carrying with it a significant responsibility including the obligation to continue to perform at a high level of professionalism. Termination of a tenured appointment may only be by retirement, resignation, mutual consent, redundancy, or dismissal for just cause.

▶ Meaning of Promotion to Professor

- At MRU, promotion to the rank of Full Professor is a formal recognition of sustained excellence as an employee in an instructionally-focused undergraduate university.

Evidence and Standards

- ▶ The criteria are the same across MRU for service and teaching. Each Faculty has their own scholarship criteria.
- ▶ You must know your Faculty's scholarship criteria thoroughly; they are available on MyMRU or at:
<http://www.mtroyal.ca/AboutMountRoyal/OfficesGovernance/GeneralFacultiesCouncil/TenurePromotionCriteria/index.htm>
- ▶ **Note key differences for any remaining candidates appointed before July 1, 2017**

Criteria for Tenure and Promotion

- ▶ The criteria do not comprise an algorithm for the evaluation of candidates
- ▶ Tenure and promotion committees are expected to exercise their professional and academic judgement
- ▶ Be mindful of unconscious bias when assessing dossiers

Tenure

- » Moving from Assistant to Associate Professor

Key Players in the Tenure Process

- ▶ The candidate
 - Annually, compiles evidence via a cumulative dossier
 - At the end, applies for tenure
- ▶ The department (academic unit) TC (Tenure Committee)
 - Conducts annual and mid-term evaluations
 - Produces a summative recommendation, at the end
- ▶ The Dean
 - Conducts a mid-term evaluation
 - Produces a summative recommendation, at the end
- ▶ The UTPC (University Tenure and Promotion Committee)
 - Produces the final recommendation, at the end

General Criteria for Tenure

- ▶ Tenure recommendations and decisions shall be made on the basis of meeting the established standards during the probationary period and any years credited towards the probationary period and of clear promise of continuing intellectual and professional development as demonstrated by the following general criteria:
 - i. evidence of proficient and scholarly teaching;
 - ii. evidence of significant results from scholarship, where applicable, congruent with the teaching loads and resources available for scholarship at an undergraduate university;
 - iii. evidence of contributions in service

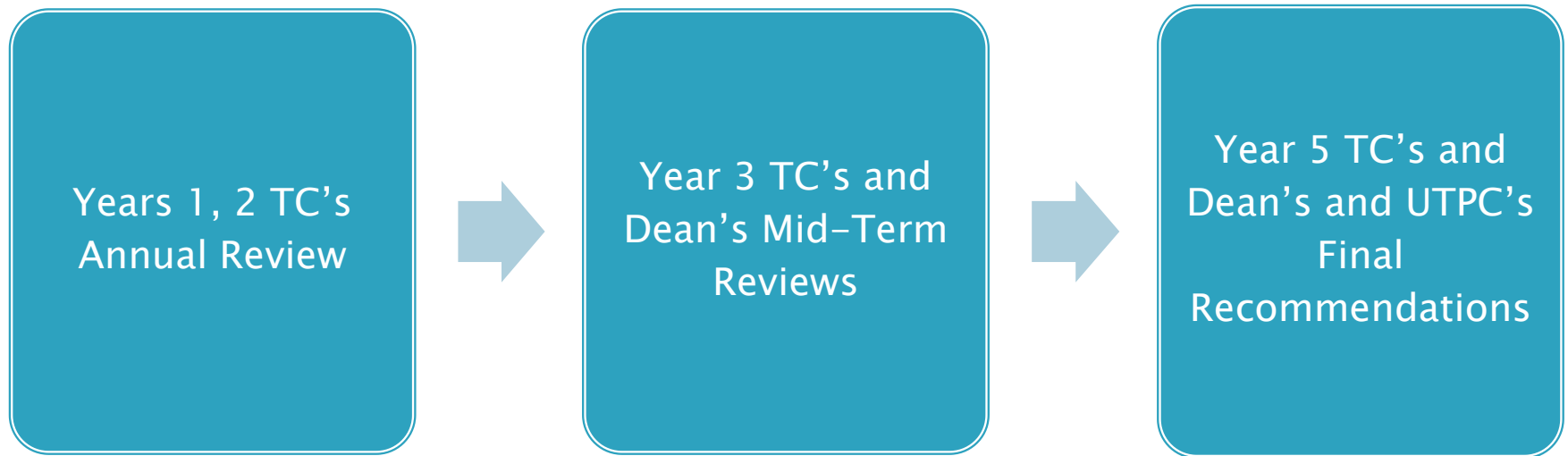
- ▶ Each includes the extent to which the duties have been carried out in a responsible and professional manner

- ▶ **Exceeding the standards in one category shall not lower the performance expectations in the other categories**

Institutional Criteria – Assistant Professor

- ▶ Tenurable faculty begin at the rank of Assistant Professor—not expected to meet the criteria right away
- ▶ It is a basic expectation that tenurable faculty will work towards, and eventually attain and maintain Associate-level performance

Overview of the Five-Year Tenure Process



Note: this process can be as short as 3 years (if previous years credited) and as long as 6 (**now 7 years due to COVID extension**) if extra years are taken or recommended by UTPC

Note: there is a Year 4 section in the dossier which must be completed but no annual evaluation by the TC in Year 4. Candidates still compile a Year 4 dossier though!

Annual Reports and the Dossier

- ▶ Note: annual reports (covered the previous July 1 – June 30 period) for all full-time faculty *including limited term and tenure track* are due the first Tuesday in September
- ▶ The annual report is different from the annual tenure review—annual report is included in the dossier
- ▶ Best to provide a link to the dossier rather than a pdf to ensure all parts carry over into the dossier—ask the ADC for instructions

Tenure Timeline Notes

- Annual and mid-term tenure evaluations by the Tenure Committee take place in September–October
 - Annual evaluations concern overall progress
 - Mid-term evaluation is a comprehensive review
- The final application process begins on 15 January of the final probationary year (usually Year 5)
 - Application and other procedural details are omitted from this presentation – see Article 10
- Can get confusing as your review is happening in the next year. So Year 1 review takes place at the beginning of Year 2 of the candidate.

Variations to Five-Year Tenure *Pandemic Related*

- ▶ Two MOUs in 2020 between the University and the Association applied to individuals on tenure-track, permanent and limited-term appointments
- ▶ Tenurable and probationary faculty (i.e., lab instructors and senior lecturers) could choose to extend the tenure process by one-year (a stand-still provision) by September 30, 2020.
 - Does not affect their ability to elect for an extension later

Variations to Five-Year Tenure Process

Years Credited

Years credited on the probationary period

- ▶ Eliminates years 1 or years 1 & 2 of the normal length for the tenure process.
Expectations/criteria remain the same.
- ▶ ORIGINAL SYSTEM...by 15 November of the first year, an eligible candidate could apply for up to two years of credit on the probationary period. Still in effect but now see the bullet point below as well. Has to be a Universities Canada equivalent school. Application to TC, who produces a recommendation. Dean then produces a recommendation. Decision by UTPC
- ▶ NEW SYSTEM...In the NEW CA, the **hiring committee** can also recommend that a new hire be given years credited toward tenure **at the time of hire with no need to apply.** It no longer needs to have been tenure track experience but still must be Universities Canada equivalent. See Article 10.3.7
- ▶ Dossiers for those with years credited will look different. Faculty who received credit at the time of their hire have been directed to load material into the Year 1 and 2 sections of the dossier as best they can to copy the requirements of our system, knowing that the documents will not be identical and that the TC can't expect the dossiers to look the same. Can be one pdf or multiple documents. Either way—add a note that years have been credited at time of hire or by UTPC.

Variations to Five-Year Tenure Process

Extensions by the Candidate or by the University Tenure and Promotion Committee (UTPC)

After receipt of the mid-term evaluation, the candidate can opt to extend the process by repeating Year 3

- Must be requested no later than 15 January
- The entire 3rd year is repeated—evaluations, etc.
- The dossier will have two Year 3 sections—do not delete the original Year 3
- If this option is chosen, the UTPC is unable to grant an additional year

If a candidate has not opted to repeat year 3, the UTPC can opt to have the candidate repeat Year 5. There is no guarantee this will happen and the UTPC can simply not recommend the granting of tenure.

Variations to Five-Year Tenure Process

Leaves

Candidates may have their tenure process stopped or extended due to medical, parental, or other leaves.

- ▶ 10.3.8 Unless otherwise stated in a letter of leave approval, periods of **six (6) months or longer** on any of the leaves listed below will not be credited towards the probationary period. Leaves totalling six (6) months to eighteen (18) months shall extend the probationary period by one (1) year. Leaves totalling eighteen (18) to thirty (30) months shall extend the probationary period by two (2) years. For leaves totalling less than six (6) months, the probationary period will not be extended if a Tenurable Employee is able to have any required missing documentation completed either during the semester they are on leave or in the following semester. Should this not be the case, the probationary period shall be extended by one year. This provision applies to the following leaves: • Parental leave; • Maternity leave; • Illness leave; • Compassionate leave; • Leave of absence with or without pay.
- ▶ Candidates with a January rather than the typical July 1 start date will have to do 1.5 years for Year 1.

Summary of Tenure Recommendations and Decision in Final Year

PRESIDENT

Makes final decision

Subject to appeal and arbitration
Denial means loss of employment

UTPC

University
Tenure & Promotion Committee
Recommends to President

DEAN

Recommends to UTPC

TC

Academic Unit
Tenure Committee
Recommends to Dean/UTPC

**FACULTY
MEMBER**

Applies

Permanency for Senior Lecturers and Lab Instructors



Dossiers, Etc. for Senior Lecturers and Lab Instructors

- ▶ There is **no dossier template currently in *D2L* for senior lecturers and lab instructors.** Instead, they gather the forms necessary (see Article 6.6 and 6.18) and provide them to the Chair and TC or Lab Instructor Standing Committee (as appropriate)
- ▶ The TC reviews and sends a recommendation to the Dean who sends a recommendation to the Provost

Summary of Permanency Recommendations and Decision in Second Year

PROVOST

Makes final decision

Subject to appeal and arbitration
Denial means loss of employment



DEAN

Memo to the Provost



TC

Academic Unit
Tenure Committee
Recommends to
Dean/Provost



**FACULTY
MEMBER**

Applies

Promotion to Full

- »» Promotion from Associate to Full Professor

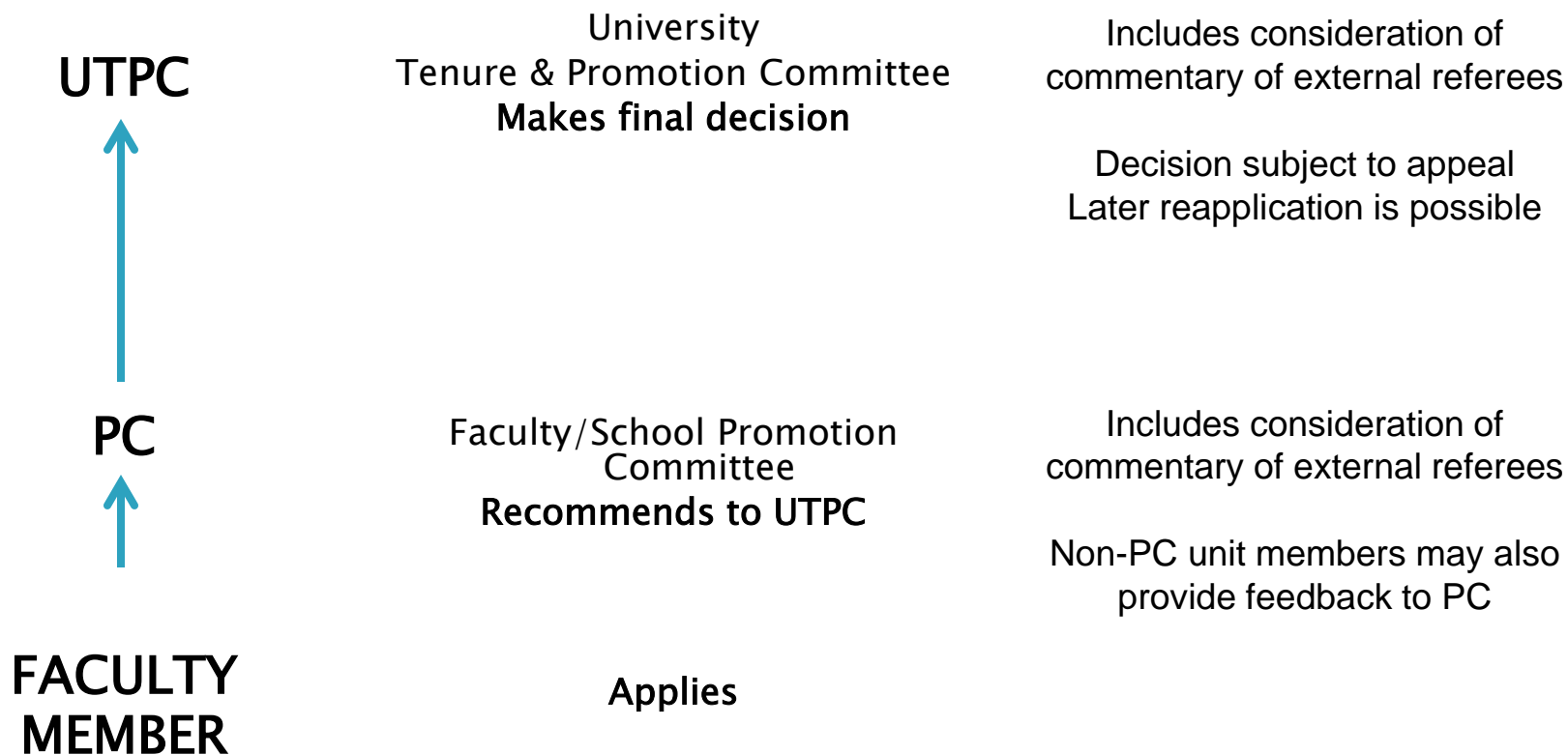
Institutional Criteria – Full Professor

- ▶ Candidates may apply (independently of work pattern) based on one of
 - Excellence and leadership in teaching
 - Excellence in scholarship and continued proficient and scholarly teaching
 - And, for both, substantial contribution in service
- ▶ Both paths require the demonstrated impact of the candidate's work, as recognized by peers at the **national or international level**
- ▶ No rules about minimum years of employment prior to applying for promotion to full professor
- ▶ Up to the candidate to decide to apply—unlike tenure which is mandatory to apply

Key Players in the Promotion Process

- ▶ The candidate
 - Compiles evidence via a dossier
 - Expresses intent to apply and suggests potential external referees
 - Subject to conflict of interest restrictions (11.3.3)
 - Does not contact the referees
 - Applies—keep in mind non-discipline experts will also read the dossier
- ▶ The external referees
 - Comment on the application
 - 4 suggested by candidate, 2 by unit Chair
 - 3 of these 6 selected by Dean (leaving 3 alternates)
 - At times additional names may be needed
- ▶ The Faculty/School PC (Promotion Committee)
 - Produces a recommendation
- ▶ The UTPC (University Tenure and Promotion Committee)
 - Makes a final decision

Summary of Promotion Recommendations and Decision



Promotion Timeline Notes

- ▶ The candidate must initiate the application process by January 31 of any given year. **Dossier is due in June.**
 - Application and other procedural details are omitted from this presentation – see Articles 11.3–11.5
 - The employee shall be advised in writing of the decision of the UTPC normally no later than January 31 of the following year
- ▶ An employee shall not apply more than twice in a five-year period. See Article 11.5.7.
- ▶ After receipt of the PC recommendation, a candidate may withdraw the application without prejudice to future applications



Responsibilities of Tenure and Promotion Committee Members

Tenure Committee (TC)

Composition

- ▶ Chaired by the unit Chair (unless in exceptional circumstances)
- ▶ ... with other tenured members either in an elected committee of 5, 7 or 9 with three-year terms, or in a committee of the whole
- ▶ Please note that a TC for cross-appointed candidates will have a different composition—see Article 5. Likewise, in small units, members of the TC may have to come from another unit.
- ▶ Alternates

Duties

- ▶ conducts formative annual and mid-term tenure evaluations
- ▶ makes summative recommendations on final-year applications for tenure
- ▶ makes recommendations on applications for years credited towards the probationary period and for tenure if not granted at time of hire
- ▶ Can request that a candidate meets with the Dean following an annual review (Year 1 or Year 2) when concerns are raised regarding overall progress toward fulfilling criteria. The Dean can specify remedial measures.

Responsibilities of TC Committee Members: Pandemic Related

Pandemic Related for 2020–2021

- ▶ SEIs (SPoTs) suspended in Winter 2020 and Spring 2020; Substitution from previous semester possible
- ▶ Encourage TC Chairs to remind committee members of the unique circumstances of pandemic which disrupted scholarship plans
 - ▶ Unique pandemic teaching assessment forms from Jan 2021 to June 2022

Responsibilities of Promotion Committee (PC) Members

Composition

- Chaired by the Dean
- ... with 1 tenured member plus 1 tenured alternate from each academic unit in the Faculty/School
 - ▶ elected by their units for three-year terms
- The composition of the PC varies for cross-appointed candidates—see Article 5.10.1
- the unit Chair shall attend the PC meeting to discuss a candidate's application, but shall not be present for any vote or final decision of the committee regarding the candidate
- Please note that Chairs, Associate Deans and Academic Directors are not eligible to sit on their Faculty's PC

Duties

- Makes recommendations on applications for promotion
- Also makes recommendations on appointment with rank of Full Professor when previously earned elsewhere

Responsibilities of University Tenure and Promotion Committee Members

Composition

- ▶ Chaired by the Provost
- ▶ ... with 1 tenured member plus 1 tenured alternate from each Faculty/School + the MRFA
 - ▶ elections administered by the University and the MRFA for three-year terms

Duties

- ▶ receives recommendations produced at earlier steps
- ▶ makes decisions on years credited towards the probationary period if not granted at the time of hire
- ▶ makes recommendations on tenure to the President
 - grant tenure, release, or grant one additional probationary year (where applicable)
- ▶ makes decisions on promotion to full professor
 - promote or deny promotion

Responsibilities of TC, PC, and UPTC Members

- ▶ Common to all TCs, PCs and the UTPC
 - Quorum is 2/3, including the committee Chair
 - **The committee Chair shall only vote to break a tie**
- ▶ Common to TC and PC reviews
 - Tenured unit colleagues not on the committee may provide feedback in writing (using the proper forms) on the performance of the candidate with respect to the criteria. The committee Chair shall make the dossier available for review as per the process specified in the relevant CA articles
 - The unit Chair and the Dean shall comment on the extent to which duties have been carried out in a responsible and professional manner using the proper forms

Responsibilities of TC, PC and UPTC Committee Members Continued

- ▶ committee members must first understand
 - the applicable criteria
 - associated forms of evidence and related standards
- ▶ ... and then assess the candidate's performance based on the evidence presented in the dossier
 - A fair, evidence-based assessment by peers, working collegially and ethically, is at the heart of Mount Royal's tenure and promotion system. **Only the approved criteria and standards are relevant**
 - committees do not generate new evidence, and cannot invent and apply additional criteria or standards
 - for tenure: based on the CA & policies in place when employment commenced

Responsibilities of TC, PC and UTPC Committee Members Continued

- ▶ Committee recommendations on candidate performance for tenure and promotion are based on):
 - Meets the standard; or
 - Does not meet the standard
- ▶ Be careful not to make sweeping statements about exceeding the criteria early in the tenure process
- ▶ Applies to each of the areas of teaching, service and, where applicable, scholarship
- ▶ Conclusions cannot be based on comparison to other current or previous candidates

Responsibilities of TC, PC, and UPTC Members Continued

- ▶ Evaluation reports are not limited to brief conclusions
 - ▶ Each conclusion must be accompanied by a rationale
 - ▶ Each rationale must relate the presented evidence to the approved criteria and standards
 - ▶ Especially important if the committee is not recommending

Responsibilities of TC, PC, and UTPC Members: Standards of Conduct

- ▶ Committee deliberations shall be strictly confidential
 - Candidates shall communicate with the committee **only** through its Chair
 - Committee members shall not discuss an application with any persons outside the committee

Responsibilities of Committee Members: Standards of Conduct

- ▶ Conflict of Interest
- ▶ Professional or personal relationship and/or competing loyalties between the candidate and committee member that may make it difficult to render an unbiased judgment
 - Apprehension of bias: reasonable and informed person with knowledge of all the relevant circumstances, viewing the matter realistically and practically, would conclude that a conflict of interest might exist
 - Does not necessarily preclude participation, but does require formal disclosure in writing
 - Member may declare a conflict of interest and withdraw
 - Candidate may request removal of a member or the Dean
 - Any committee member may trigger discussion of apprehension of bias

Responsibilities of TC, PC, and UTPC Members

The responsibilities of a committee Chair include

- ▶ Comprehensive understanding the tenure/promotion system
 - ▶ See the CA and Guide for detailed process and timeline information
- ▶ Ensuring only evidence contained in the dossier or submitted via formal mechanisms identified in Articles 10 and 11 is considered; anything else must be ruled out of order
- ▶ Ensuring SEI/SPoT data are read for patterns
- ▶ Ensuring committee work and conclusions are based on the approved criteria and standards
- ▶ Ensuring reports provide clear, unambiguous explanations for all conclusions drawn
- ▶ Serve as a conduit for information, esp. with the candidate
- ▶ ensure candidate knows they can bring a support person to the meeting with the TC/PC

Congruence of Scholarly Expectations and Resources

- ▶ One of the general criteria for tenure in the CA is “evidence of scholarship, where applicable, *congruent with the teaching loads and resources available for scholarship at an undergraduate university*”
- ▶ Resource limitations include teaching and service workload, funding, facilities, research assistants
- ▶ Standards vary among Faculties and vary by discipline within Faculties

Flexibility in Assessing and Weighting Performance

▶ Measures of Assessment

- Interpreting the various assessments must be done carefully and professionally:
 - SEIs and SPOTs
 - Peer Evaluations
 - Annual Reports
 - Types of scholarly deliverables and service contributions
- When interpreting assessments be mindful that:
 - Careful critical judgment is required, with patterns and trends more significant than isolated data
 - Intended for use in a formative process
 - Weigh in conjunction with other evidence presented in the dossier

Flexibility in Assessing and Weighting Performance Continued

▶ Core Issues:

- Tenure and promotion systems at Mount Royal require mindful flexibility in assessing performance relative to the criteria
- Lists of potential forms of evidence are illustrative rather than definitive—not a checklist

▶ Goal:

- Measuring “meets the standard” within this flexible framework

Principles of Due Process and Natural Justice*

Candidates have rights of due process:

Reasonable
Notice

See Evidence

Challenge
Evidence

Support Person

Fair Tribunal

Receive
Detailed
Reasons

*CAUT Freedom and Tenure Committee Discussion Paper: What is Fair?;
Duhaime.org Legal Dictionary; MRFA White Paper on Tenure

Principles of Due Process and Natural Justice*

Thorough, balanced, unbiased, non-discriminatory, deliberate evaluation

Decision on precisely relevant information

Decision only on information presented

Decision relating evidence to criteria

Decision unrelated to personality

Appeal on substantive and/or procedural grounds

*CAUT Freedom and Tenure Committee Discussion Paper: What is Fair?; Duhaime.org Legal Dictionary; MRFA White Paper on Tenure

Principles of Due Process and Natural Justice

Related Principles: Committee Process

- ▶ Confidentiality protects the candidate's privacy and the integrity of the process
- ▶ The Chair and/or Dean have a special role in commenting on performance of duties in a professional and responsible manner
 - Complaints or allegations are to be pursued in a timely fashion through other processes
 - Committees do not investigate allegations or generate new evidence
 - New Chairs may have to consult the candidate's HR/Dean's office files

Principles of Due Process and Natural Justice

Related Principles: Committee Process

- ▶ The meeting with the candidate is an opportunity for the candidate to respond to the committee's draft report and for the committee to gather relevant information to refine its final report
 - The committee should not hesitate to modify if warranted
 - Any additional written information submitted as evidence by the candidate becomes part of dossier (as per the CA, this is not to include any missing forms that were previously due)

Principles of Due Process and Natural Justice

Related Principles: Committee Processes

- ▶ Committee members' signatures indicate that the report reflects the range of views, not unanimous agreement. Any dissenting opinions shall be attached.
- ▶ A candidate's signature on an evaluation or recommendation reflects that it has been received and reviewed and that the candidate has been provided with the right to respond in writing to the chair of the committee, not that the candidate agrees with everything in the report.

Principles of Due Process and Natural Justice

Related Principles: Academic Freedom

- ▶ Academic freedom may cause discomfort, but difference, dissent, non-conformity, controversy and intellectual conflict are academic virtues
- ▶ Suppressing academic freedom under other labels denies a fundamental right
- ▶ Be clear on what is and is not academic freedom
- ▶ In evaluating a candidate's performance, committee members must be respectful of differences in pedagogy and of the diversity of scholarship, especially if certain practices have become customary in a department and there is resistance to other approaches (notwithstanding legitimate collegial decision-making regarding curriculum)

EDI

- ▶ faculty from equity deserving may encounter more barriers to satisfying tenure and promotion criteria, including situations such as potential workload inequalities or activities that do not easily “fit” existing tenure and promotion criteria
- ▶ Consider how these faculty have may have been called up to do additional service to their communities, the University, and/or the academic unit
- ▶ Consider how racism, sexism, and homophobia may have an impact on an individual’s tenure or promotion application

Other Notes

- ▶ Candidates must meet the standards; this does not mean they should all be above average (which, of course, would be impossible)
- ▶ Scholarship of candidates on TSS must ultimately be assessed on their achievements, not their scholarship plans

Other Notes Continued

- ▶ Remember that the tenure/promotion process can be an anxiety-producing one for some colleagues.
- ▶ How you engage with them matters
 - In meetings with the candidate
 - Support persons are encouraged; make comfortable, establish a good atmosphere (think about seating arrangements, providing water, etc.)
 - Via draft and final committee reports

Challenges and Discussion

- ▶ What should a member of a committee do if he/she believes that candidate's rights are being violated, and/or the that the procedures in place have been compromised?
- ▶ Who should I speak with if I have questions?
 - – Committee Chair
 - – Your Dean
 - – MRFA/Labor Relations Officer

Questions and Discussion