

# **TENURE AND PROMOTION**

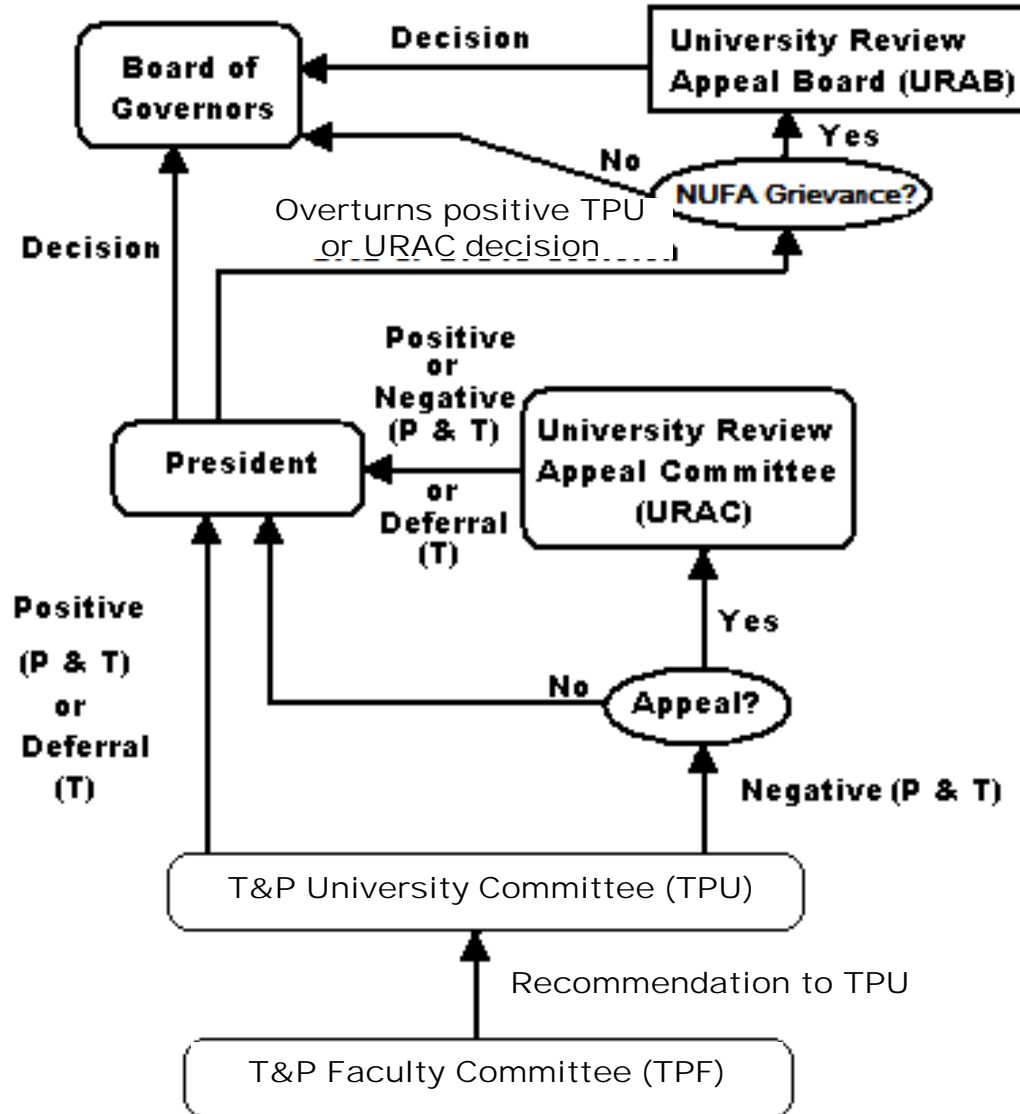
## **Information Session for TPF and TPU Review Committees**

**September 21, 2018**

## TOPICS TO BE COVERED

1. **Overview of the T&P Process**
2. **Role of Committee Members**
  - **Members**
    - Alternates
    - Overall Role
    - Professional Conduct
  - **Professionalism**
    - Confidentiality
    - Conflict of Interest and Bias
3. **Decision-Making Procedures**
4. **Criteria for Tenure and Promotion**
5. **Use of Documentary Evidence**
  - Dossier
  - External Letters of Reference
  - Dean's Evaluation
6. **Assessment: Guidelines & Standards**
  - Academic & Professional Credentials
  - Teaching Effectiveness
  - Research and Scholarship
  - Service to the University
7. **Final Recommendations**

# 1. Overview of the T&P Process



### Review Committees

Reference: Standards Section F and C.A. 25.3 and 25.4

- To consider all aspects of the candidate's application within the context of the information that is brought before the Committee during the review process, and
- Render a recommendation on the application.

***This recommendation shall be in the form of a report submitted to the next level of assessment in the Tenure and Promotion Review process.***

### Members and Alternates

- TPF and TPU are composed of members and alternates.
- Alternates step in where a member is unable to take part in the consideration of a candidate.

***It is important that both members and alternates fully understand or apprise themselves of the policies, procedures, and standards for tenure and promotion review at Nipissing.***

- **NOTE: ALL MEMBERS MUST ATTEND MEETINGS IN PERSON. SKYPE/ZOOM, TELECONFERENCING OR VIDEO-CONFERENCING WILL NOT BE USED – as per Letter of Agreement dated July 30, 2018**

### Professional Conduct

Reference – C.A. Article 25.15 (a) (i)

- Maintain highest standards of integrity, fairness, professionalism, discretion and equity.
- Consider only the file and the criteria – no extraneous information.

### Review the Candidate's Total Contribution

Reference – C.A. Article 25.15 (a) (ii)

- In each category, ask the question “Does the candidate’s contributions meet expectations - Yes or No?”
- Consider the Nipissing context – primarily undergraduate university.
- Consider the type and variation of appointment – Normal, Research Intensive, or Teaching Intensive – the candidate must present their workload history.

### Confidentiality

Reference: Standards Section H

- All discussions and decisions during the tenure and promotion review process are **CONFIDENTIAL**.
- All those associated with the process and procedures shall maintain strict confidentiality regarding the recommendations and decisions (Confidentiality Agreement Form – Appendix VIII).

### Conflict of Interest and Bias

References: C.A. Article 13 and University Policy on Harassment and Discrimination

- All members and alternates must familiarize themselves with the nature and intent of the Conflict of Interest and Bias.
- When in doubt, always raise the concern about any potential COI or Bias to the Chair of the committee, whether it involves you or some other committee member.
- Candidates can indicate to their Dean, in writing, committee members they feel may have a conflict of interest.

### Professionalism/Confidentiality/Conflict of Interest

1. Associated with Candidate such that there would be an actual or reasonably perceived obstacle to objectivity in determining the matter being considered.
2. Reasonable Person Rule.
3. Actual bias.
4. “Reasonable apprehension” of bias.
5. What an “informed person, viewing the matter realistically”, would think.
6. It is more likely than not that the case would not be decided fairly?
7. Hostility towards individual or their cause.
8. Past statement indicating “closed mind”.
9. Non-discrimination (15 prohibitive grounds – Ontario Human Rights Code).
10. He/She who hears must decide... AND he/she who decides must hear.

### Tenure

Reference: C.A. Article 25.11 and Standards Section C

- **Academic or Professional Credentials** – possession of the normal credentials as defined for the position of Assistant Professor; usually an earned PhD (or equivalent) or the degree that is determined as the terminal degree for the discipline (as identified in the Standards for Tenure and Promotion); and any additional credentials required for the specific position that were stated in the letter of appointment.
- **Teaching Effectiveness** – a record of effective performance as a university teacher constituting promise for a successful career as a professor.
- **Research, Scholarly and/or Creative Work** – evidence of a productive record of research, scholarship, and/or creative achievement, including work assessed by peer review, since the completion of the candidate's terminal degree and over the course of the period of appointment at Nipissing University, as constituting promise for a successful career as a professor.
- **Service** – a satisfactory record of service to Nipissing University (and other institutions where appropriate), the profession, and the wider community.

### Promotion to Associate Professor

Reference: C.A. Article 25.12 and Standards Section C

- Academic or Professional Credentials – these must meet the criteria for the position of Assistant Professor.
- Teaching Effectiveness – a sustained record of effective performance as a university teacher.
- Research, Scholarly and/or Creative Work – a demonstrated record of sustained and productive research, scholarship, and/or creative achievement, including work assessed by peer review.
- Service – a sustained and satisfactory record of service to Nipissing University (and other institutions where appropriate), the profession, and the wider community.

### Promotion to Professor

Reference: C.A. Article 25.13 and Standards Section C

- **Academic or Professional Credentials** – these must meet the criteria for the position of Assistant Professor.
- **Teaching Effectiveness** – a sustained record of effective performance as a university teacher.
- **Research, Scholarly and/or Creative Work** – a demonstrated record of sustained and productive research, scholarship, and/or creative achievement, including work assessed by peer review that has resulted in national and/or international recognition and high standing in the discipline or field of expertise.
- **Service** – a sustained and satisfactory record of service to Nipissing University (and other institutions where appropriate), the profession, and the wider community.

**Demonstrated and Recognized Excellence in Teaching and/or Service:** The requirement for international and/or national reputation may be offset where demonstrated and recognized excellence in teaching and/or service are part of the candidate's dossier (Article 25.14 (f)).

### The Dossier

Reference: C.A. Article 25.9

- The Dossier constitutes the full package of information that the candidate provides in support of his or her application. It is the candidate's responsibility to provide evaluators with sufficient information for them to make a reasoned evaluation of the application (25.9 (b)).

The Committee should not add to or attempt to fill in gaps.

### Dean's Evaluation

Reference: C.A. Article 25.15 (b) (i) and Standards Section F

- The Dean's report will assess the overall quality of the candidate for tenure or promotion.
- The Dean's report may include materials from the candidate's personnel file that the Dean deems relevant to the application.
- Review Committees will give the Dean's report serious consideration and will meet with the Dean if there are any issues or concerns that need further clarification.

### External Letters of Reference

Reference: C.A. Article 25.8 and Standards Section F

- Letters from external references constitute a very important part of the review process – committees must pay attention to the letters although they are not bound by them.
- They do not constitute either recommendations or decisions; any differences of opinion with the external letters should be explained in the Committee Report.
- Reviews can proceed with only two of three references, but not with only one. In such cases, the application will not proceed, and the Dean will confer with the Provost and Vice-President, Academic and Research to determine the next steps – the PVPAR will also confer with the President of NUFA in such cases.

**Articles 25.14, 25.15 (a) (ii) & (iii), & the Standards for Tenure and Promotion sections D & E, serve as guides to evaluators of what is to be expected of candidates.**

**They are not a rigid set of rules to be applied mechanically.**

**The Standards apply to the four categories of evaluation:**

- 1. Academic and/or professional credentials,**
- 2. Teaching effectiveness,**
- 3. Research, scholarly and/or creative work,**
- 4. Service.**

### Academic and/or Professional Credentials

- Review of credentials is most relevant at tenure – beyond that they should not be of concern unless information is presented as to the accuracy or authenticity of the credentials of a candidate.
- The normal academic credential required is the PhD degree or its equivalent; usually this is a research/thesis-based doctoral degree and not a course-based doctoral degree, which are typically doctorates designed to educate for professional practice rather than research.
- The Standards provide for exceptions to the requirement for a PhD or equivalent and Appendix I lists these exceptions where the required terminal degree is not a doctorate.
- In some disciplines or fields, additional professional credentials are required to teach effectively or to be qualified to teach—these are also identified in Appendix I.
- The Review Committee’s decision around credentials should be relatively straightforward (Kroll Form).

**The Review Committee shall determine either:**

1. The candidate possesses the appropriate credentials to meet the requirement; or
2. The candidate does not possess the appropriate credentials to meet the requirement.

### Teaching Effectiveness

- **Effective teaching is a highly valued institutional priority.**
- **All candidates are required to be good teachers and to maintain good standards throughout their careers.**
- **The Standards provide the context in which to evaluate a candidate's teaching effectiveness.**
- **Teaching evaluations by students constitute an important body of evidence, but it is not the only factor to consider.**
- **It is important to take into consideration the size and level of classes being taught.**
- **Review Committees must look to see if candidates are working to improve their teaching, keeping it up to date. Candidates are expected to:**
  - **demonstrate mastery of their subject area(s) or discipline(s),**
  - **make thorough preparation for their classes,**
  - **communicate effectively with their students,**
  - **show a willingness to respond to students' questions and concerns, and**
  - **exhibit fairness in evaluating students**

### Teaching Effectiveness (cont'd)

- **Pedagogical procedures must be carefully planned, continuously examined, and relate directly to the subject taught.**
- **Good teachers stimulate active, not passive, learning.**
- **Candidates must exhibit in their dossiers evidence to show that they are continuously working to improve their teaching, keep their courses up to date, and working to encourage students to be critical, creative thinkers, with the capacity to go on learning long after their university days at Nipissing are over.**
- **For candidates who teach in more than one discipline, or in an inter- or multi-disciplinary program, all of their teaching will be viewed as equally important.**
- **Candidates in a Teaching Intensive workload will have a greater body of evidence to present because they are teaching more courses.**

## Teaching Effectiveness – Application of the Criteria

### Tenure

- A record of effective performance as a university teacher constituting promise for a successful career as a professor.

### Promotion to Associate Professor

- A sustained record of effective performance as a university teacher.

### Promotion to Professor

- A sustained record of effective performance as a university teacher.

The Review Committee shall determine either:

1. The candidate meets the requirement for effective teaching; or
2. The candidate does not meet the requirement for effective teaching.

### Research and Scholarship

- Research and scholarship is often the most challenging aspect of a Review Committee's work.
- All candidates are expected to be active and productive researchers and scholars.
- The Standards present a context for assessing a candidate's research and scholarship based on the Boyer Model of Scholarship.
- In addition to traditional, inquiry-based research (Discovery Research), other forms of research and scholarship must be given appropriate recognition.
- In all cases, peer-reviewed publications and/or works of scholarly production constitute the primary evidence of research and scholarly activity.
- In addition to peer-reviewed works, an active scholar will also have a combination of non-peer reviewed articles and publications, conference presentations, public presentations, and other works that demonstrate their level of activity and productiveness in their field of expertise.

### Research and Scholarship (cont'd)

- Candidates in professional fields will also have a body of evidence that pertains to the practice of their profession, and may also have their research productivity weighted more towards the scholarship of application or professional practice.
- Review Committees must look to see if candidates are working to sustain an active and productive level of research. The Standards provide guidance to the kinds of documentary evidence that one would expect to be included in a dossier to demonstrate a productive and sustained record of research.
- Review Committees must take into account the type of workload (Normal, Teaching Intensive, or Research Intensive) – candidates must explain their workload history in their dossiers.

### Research and Scholarship - Application of the Criteria

#### Tenure

- A productive record of research, scholarship, creative achievement and/or scholarly professional work assessed by peer review which may be supported by other works (such as non-peer reviewed papers, reports, and presentations).
- Evidence constituting promise for a successful career as a professor.
- Candidates for Tenure must have undertaken activities that go beyond the fulfillment of the requirements for the terminal degree in their field (it being understood that to “go beyond the fulfillment of the requirements” includes the publication of all or part of the work required for completion of the terminal degree).

## Research and Scholarship - Application of the Criteria (cont'd)

### Promotion to Associate Professor

- A demonstrated record of sustained and productive research, scholarship, creative achievement and/or scholarly professional work assessed by peer review which may be supported by other works (such as non-peer reviewed papers, reports, and presentations).
- Evidence of progress in carrying out an agenda of research, scholarly and/or creative activities and, based on the record of accomplishments thus far, the prospect of further development of those activities.
- Candidates for Associate Professor must demonstrate that they are mature professionals who have completed their training, have established themselves as recognized scholars within the academic and professional communities (as appropriate to the discipline), and have established the foundation of an enduring and productive scholarly/creative career.

## Research and Scholarship - Application of the Criteria (cont'd)

### Promotion to Professor

- **Produced works in addition to those required for promotion to Associate Professor.**
- **Achieved an international and/or national reputation as an important scholar/creator whose work is having an impact in his/her field.**
- **International and/or National Recognition and High Standing within the Discipline or Field of Expertise: For promotion to Professor it is important to determine whether or not the candidate has achieved a level of recognition and standing with their discipline, disciplines, or field of study in terms of their contribution to the advancement of knowledge, including where appropriate, professional standing.**

### Research and Scholarship - Application of the Criteria (cont'd)

#### Promotion to Professor (cont.)

- **Demonstrated and Recognized Excellence in Teaching and/or Service:**  
The requirement for international and/or national reputation may be offset where demonstrated and recognized excellence in teaching and/or service are part of the candidate's dossier. In such cases:
  1. The requirement for exceeding the research expectations of an Associate Professor remains.
  2. The Review Committee must determine if the demonstrated excellence in teaching and/or service is enough to reduce the level of recognition of the research and scholarly record of the candidate. For example, simply being a good teacher or holding an administrative position or holding an elected position do not in and of themselves constitute grounds for promotion to Professor. The candidate must demonstrate clearly and with appropriate evidence that their contributions in these areas are truly excellent.

### Service

The Standards define the context by which Service can be achieved in a number of ways:

#### Administration

1. Faculty members are expected to contribute effectively to the collegial decision-making processes within their department or school, Faculty and the university, and to carry their share of administrative work especially within their department or school.
2. Where faculty engage in administrative duties as part of their formal duties (including work for compensation), this work will be recognised as contributing to the Service category for tenure and promotion.

#### Extension

1. Defined as extending the University to the community through the provision of a service to the community outside of the University.

### Service (cont'd)

#### Public Service

1. Public service is normally defined as the faculty member's provision of expertise to the outside community and will be accorded recognition insofar as the activities entail application of expertise associated with the candidate's position in the university.

#### Service to Academic, Professional or Scientific Organizations

1. To be recognized within this category, service to academic and/or professional organizations must go beyond membership in an organization and focus on active participation.

## Service – Application of the Criteria

### Tenure

- a satisfactory record of academic, professional and service to Nipissing University and the wider professional community.

### Promotion to Associate Professor

- a sustained and satisfactory record of academic, professional and service to Nipissing University and the wider professional community.

### Promotion to Professor

- a sustained and satisfactory record of service to Nipissing, the profession and the community.

## **The Review Committee shall determine either:**

1. The candidate meets the requirement for service; or
2. The candidate does not meet the requirement for service

## 7. Final Recommendations

### Tenure

**To be granted tenure, candidates must have a record of effective teaching, research/scholarship, and service as constituting promise for a successful career as a university professor.**

- Candidates will be granted tenure if they meet expectations in all of the categories of evaluation.
- Candidates will have their tenure deferred if they meet expectations in only some of the categories but are deemed to be able to address the weaknesses in the other categories within the period they would have to re-apply for tenure. Tenure can be deferred only once.
- Candidates will have their tenure denied if they do not meet expectations in any one or more of the categories and it is deemed that the weaknesses cannot be addressed satisfactorily within the period they would have to re-apply for tenure.

### **The Review Committee will recommend one of the following:**

1. That the candidate be awarded tenure; or
2. That the candidate be denied tenure; or
3. That consideration of tenure be deferred and that candidate's contract be extended for two years to allow a second consideration for tenure – this recommendation can be made when the Review Committee determines that a candidate (who has not been previously deferred for tenure) does not yet meet the standards for tenure, but has a good chance of being able to do so within the time period they would have to re-apply.

### Promotion to Associate Professor

- To be granted promotion to Associate Professor, candidates must demonstrate that they are mature professionals who have completed their training, have established themselves as recognized scholars and teachers within the academic and professional communities (as appropriate to the discipline), and have established the foundation of an enduring and productive scholarly/creative career.
- Candidates will be granted promotion if they meet expectations in all four categories of evaluation.

The Review Committee will recommend one of the following:

1. That the candidate be granted promotion; or
2. That the candidate be denied promotion.

### Promotion to Professor

- **To be granted promotion to Professor, candidates must be recognized both within and beyond Nipissing University as a distinguished member of the University community who has compiled a record of significant achievements and who has added considerably to the research, scholarly and/or creative culture of the University and their field of expertise.**
- **Candidates will be granted promotion if they meet expectations in all categories of evaluation.**

**The Review Committee will recommend one of the following:**

- 1. That the candidate be granted promotion; or**
- 2. That the candidate be denied promotion**

### DATES & DEADLINES FOR DECISIONS – TENURE AND/OR PROMOTION TO ASSOCIATE PROFESSOR, AND PROMOTION TO PROFESSOR

**October 1:**

Chairs call first meeting of TPFs

**December 1:**

Chairs of TPFs send recommendations to TPU with copies to candidates

**December 15:**

Candidates send responses to recommendations to TPF Chairs

**January 15:**

Chair calls first meeting of TPU

## 7. Final Recommendations

### DATES & DEADLINES FOR DECISIONS – TENURE AND/OR PROMOTION TO ASSOCIATE PROFESSOR, AND PROMOTION TO PROFESSOR

#### **February 15:**

Chair of TPU sends recommendations to President with copies to candidates

#### **February 22:**

Candidates send responses to recommendations to TPU Chair

#### **March 7:**

Candidates with negative recommendations from the TPU may notify the President of appeal to URAC

### DATES & DEADLINES FOR DECISIONS – TENURE AND/OR PROMOTION TO ASSOCIATE PROFESSOR, AND PROMOTION TO PROFESSOR

**March 20 :**

Chair calls first meeting of URAC

**March 20:**

President informs candidates of his/her decisions in cases with no appeal to URAC

**April 1:**

President informs the Chair of the Board of his/her decisions with copies to candidates, in cases with no appeals to URAC

## 7. Final Recommendations

### DATES & DEADLINES FOR DECISIONS – TENURE AND/OR PROMOTION TO ASSOCIATE PROFESSOR, AND PROMOTION TO PROFESSOR

#### **April 15:**

**Chair of URAC sends recommendations to President with copies to candidates**

#### **April 22:**

**Candidates send responses to URAC recommendations to President**

---

*Where candidates receive a negative vote on a preliminary ballot, the deadlines may need to be extended within a reasonable limit for the process to be completed.*

## 8. Concluding Comments

1. The Tenure and Promotion review process is one of the central pillars of quality assessment and control within the academy.
2. Tenure is the most important decision made by a University with regard to its long-term commitment to faculty.
3. Promotion and tenure must be earned – they are not automatic or granted by default.
4. Review Committees make recommendations – they do not make the decision.
5. Review Committees' recommendations are given serious consideration by the University in reaching its final decisions.
6. Evaluating promotion and tenure is one of the most difficult and demanding forms of service contribution to the University and the academy. **Confidentiality** is paramount.
7. ***Thank you for your willingness to serve in this very important role.***