

York University 2004

Tenure and Promotions Policy, Criteria and Procedures

- Faculties without departments/divisions/schools



redefine **THE POSSIBLE.**



What's this presentation about?

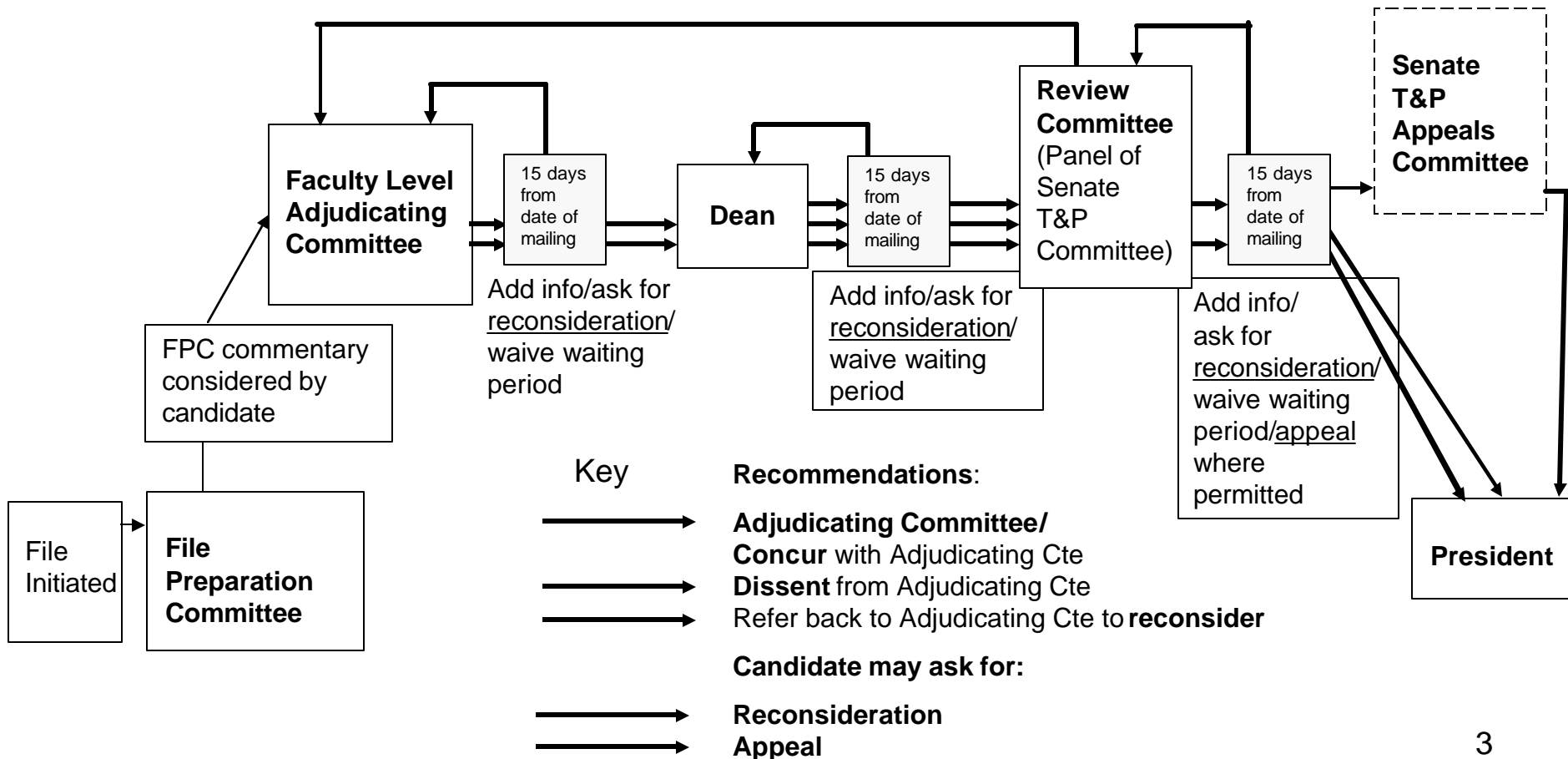


- Overview of the tenure and/or promotion, including:
 - File Preparation and file contents
 - Adjudication
 - Review
 - Development of unit standards
 - Timing and deadlines
 - Where to find more information

T&P Process Overview – Non-departmentalized Faculties

- Step 1: Committees formed
- Step 2: File Preparation
- Step 3: Adjudication
- Step 4: Decanal consideration

- Step 5: Senate Review
- Step 5A: Appeal
- Step 6: President



File Preparation – Section F.3.1.



- **File Preparation Committee (FPC)**
 - No fewer than 3 persons, 2 named by (normally from) Adjudicating Committee + 1 named by candidate
 - Prepares a file which fairly and accurately reflects candidate's academic career
 - FPC solicits letters of reference
 - **Teaching:** 3 referees + students + grad students supervised by candidate
 - **Professional Contribution and Standing:** minimum of 3 referees, external to York and at arm's length from the candidate
 - **Service:** normally not more than 3 references



- FPC obtains teaching evaluations
- Candidate may contribute additional materials to be sent to referees
- Candidate also contributes materials specified in file contents (e.g. c.v.)
- **File Contents (Section F.3.1.5.)**
 - As a minimum, each file will include:
 - T&P guidelines of candidate's Faculty and (where relevant) department
 - Advancement to candidacy letter (tenure files only), including indication of home unit T&P standards candidate is expected to meet
 - Curriculum vitae



- File Contents, continued

- List of referees whose letters are included (indicate which selected by candidate)
- Sample copies of letters to solicit references
- Letters of reference
- Published reviews of scholarship/creative production, if available
- Statistical summaries & analysis of quantifiable material, e.g. teaching evaluations
- Signed student comments from teaching evaluations, if any
- Candidate's personal statement (optional)

File Preparation, continued



- When file has been compiled, FPC writes to Adjudicating Committee
- Letter indicates file is ready to be considered and may include factual commentary where necessary, to contextualize evidence in the file
- The file is now complete
- The Candidate will be given the opportunity to review any commentary
- File forwarded to Adjudicating Committee

NOTE:

- The Candidate has the right to review all the material in his or her file, except for original letters of reference or signed student comments, and the right to be apprised of the names of all referees solicited on his/her file.

Adjudication – Section F.3.2.



- Adjudicating Committee (AC)
 - Faculty Committee
 - 6-8 tenure stream faculty (majority with tenure) + 2-3 students
 - makes substantive recommendation on tenure and/or promotion
- AC considers file
 - Tenure and promotion files:
 - Professorial Stream: votes on achievement of excellence, high competence, competence, competence not demonstrated in each of teaching, professional contribution and standing, service
 - Alternate Stream: votes on achievement of superior teaching, competent service
 - Votes to approve, delay **, deny
 - Promotion to Full Professor/Senior Lecturer files:
 - Votes to approve or delay

Adjudication, Continued



The AC weighs the evidence in the file to reach its recommendation to tenure and/or promote, delay or deny.

In weighing the evidence, the AC might look at the following:

- Have the procedures been followed?
- Are the PC&S referees at arm's length? If not, has this been addressed by the FPC?
- What have the referees been asked to comment on?
- What materials have the referees been given?
- Are all required components included? (See Section F.3.1.5.)

Adjudicating Committee Report – Section F.3.2.3.



The Adjudicating Committee should:

- present a full and balanced report, giving detailed reasons for its recommendation
 - clearly indicate that its recommendation is based on the application of the criteria to the evidence
 - address all evidence in the file in its report
 - address conflicts/discrepancies of referees' letters
 - include detailed results of votes
 - address divergent votes among Committee members
- The report should clearly answer the question: Does the evidence in the file support the AC's recommendation?

Adjudicating Committee Report, continued



- Adjudicating Committee report
 - Addressed to Dean
 - Outlines recommendation & provides details of vote
 - Copied to File Preparation Committee chair & candidate
- File has 15 day waiting period
 - Candidate can add information/ask for reconsideration, or waive waiting period
- If file is reconsidered, Adjudicating Committee
 - Adds its recommendation to file and includes any information added & considered
 - Copied to File Preparation Committee chair and candidate
- File forwarded to Dean

Decanal Consideration – Section F.3.3.



- Dean considers file
- Dean's letter of transmittal to Review Committee
 - Outlines his/her recommendation, which either
 - **Concurs** with Adjudicating Committee recommendation, or
 - **Dissents** and gives reasons
 - Copied to committee chairs and candidate
- File has 15 day waiting period
- If file is reconsidered, Dean's recommendation added to file + any information added and considered
- File forwarded to Review Committee

Senate Review – Section F.3.4.



Where the Adjudicating Committee is constituted at the Faculty level:

- Senate Review Committee (RC) will be a duly constituted panel of the Senate Committee on Tenure and promotions
- Quorum for a panel will be the panel less one

Faculties: Schulich, Fine Arts, Environmental Studies,
Education, Osgoode



The Senate Review Committee:

- Reviews file and Adjudicating Committee recommendation to ensure that criteria and standards applied fairly and proper procedures followed
- RC's recommendation either
 - **Concurs** with Adjudicating Committee recommendation **or**
 - **Dissents** and gives reasons in letter **or**
 - **Refers file back** to Adjudicating Committee where procedures not properly followed or criteria not properly/not fairly applied **or**
 - **May refer file back** to consider new information
- Where file referred back, process begins again at Adjudication



File forwarded to President:

- RC concurs with AC recommendation:
 - RC determines that the procedures have been followed in all material respects, that the appropriate criteria have been fairly applied and that the judgement of the AC concerning application of University standards is correct
- RC Dissents from AC recommendation:
 - RC finds that while “the criteria and procedures have been fairly applied, ... the evidence in the file does not support the judgement of the Adjudicating Committee.” The letter must state the Committee’s reasons for disagreeing.



File forwarded to President (cont'd):

- If procedural irregularities are found but are “not such as may reasonably be determined to affect the outcome”, the RC will concur in the recommendation and forward the file to the President.
- It will then forward its concern to the AC for its information.



File referred back for reconsideration

Reasons:

- Appropriate criteria not fairly applied
- Procedures not followed
- New information to be considered by the Adjudicating Committee

Senate Review, continued



- Where RC concurs/dissents:
 - RC writes to President outlining its recommendation (and giving reasons where it dissents)
 - Copied to Dean, committee chairs and candidate
- File has 15 day waiting period
- If file is reconsidered, RC adds its recommendation + includes any information added and considered
- Senate T&P Committee forwards file:
 - To President, unless appeal permitted
 - If candidate appeals, file is forwarded to T&P Appeals Committee

T&P Appeal



- Appeal allowed for the following RC recommendations:
 - Negative recommendation for tenure
 - Delay recommendation for promotion to full professor/senior lecturer
- T&P Appeals Committee (STAPAC)
 - Considers file
 - Judgment either concurs with RC or STAPAC substitutes its judgment for Review Committee's recommendation
- STAPAC writes to President:
 - Outlines disposition of appeal + reasons
 - Copied to Dean, committee chairs and candidate
- File proceeds directly to President

President



- President reviews file and recommendations
- President's decision
 - Agrees with recommendation of Senate T&P or Senate T&P Appeals Committee, or
 - Substitutes judgement for that of the committee
- President writes to candidate, copied to Dean and committee chairs

Discipline T&P Standards: B.4.



The Senate Committee will:

- Review the standards set forth by Faculties and departments/divisions/schools;
- Undertake to ensure that standards are uniformly applied throughout the University.
- Review changes in standards for tenure and promotion in Faculties
- Advise on ways to ensure that local standards are in accord with University criteria and procedures

Discipline T&P standards, continued



These are some questions that guide the Senate Committee in its review of standards:

1. Would they be helpful to candidates, committees and referees?
2. Do they describe various kinds of academic production or forms of professional contribution?
3. Do they allow for flexibility?
4. Teaching – are normal course loads, types of teaching, teaching-related activities set out? Is review of teaching content specified?

Review of discipline T&P standards



5. Are indicated requirements realistic? Are they logical?
6. Is there at least a minimal explicit statement about what is a normal expectation for a finding of "High Competence" and for a finding of "Excellence" in each of the (professorial stream) areas of Professional Contribution and Standing, Teaching, and Service. (Adjust appropriately for Alternate Stream)?
7. Service – are normal expectations for service set out?

Important Deadlines/Timing Issues



- Tenure and Promotion files - NEW
 - The AC's recommendation on T&P must be communicated to candidate by **November 1** of year in which the file is considered
- Appointments on dates other than July 1
 - Normally for these candidates, the schedule commencing the next July 1 will apply
- Promotion to Full Professor files - NEW
 - Files received by the AC by January 15 and RC by March 15 will be effective July 1
 - Files received by the AC by May 15 and RC by October 1 will be effective January 1



Unchanged from previous procedures:

- Advancement to candidacy for tenure:

- Decision communicated to the Candidate by November 1 of pre-candidacy 3 year

- “Deny” decision on tenure files:

- President’s decision must be made and candidate notified by June 30

More information



- The new T&P Toolkit contains:
 - T&P Policy, Criteria and Procedures
 - Application status form & checklist
 - Process overview – flow charts
 - Frequently asked questions
 - Questions to guide units in developing T&P standards
 - Steps in the process
 - Suggested timeline for typical files
 - Guidelines: candidate's statement, sample letters to referees
- Find the toolkit at:

<http://www.yorku.ca/secretariat/senate/committees/tnp/toolkit/index.htm>