Reappointment, Permanence, Tenure & Promotion Information Session
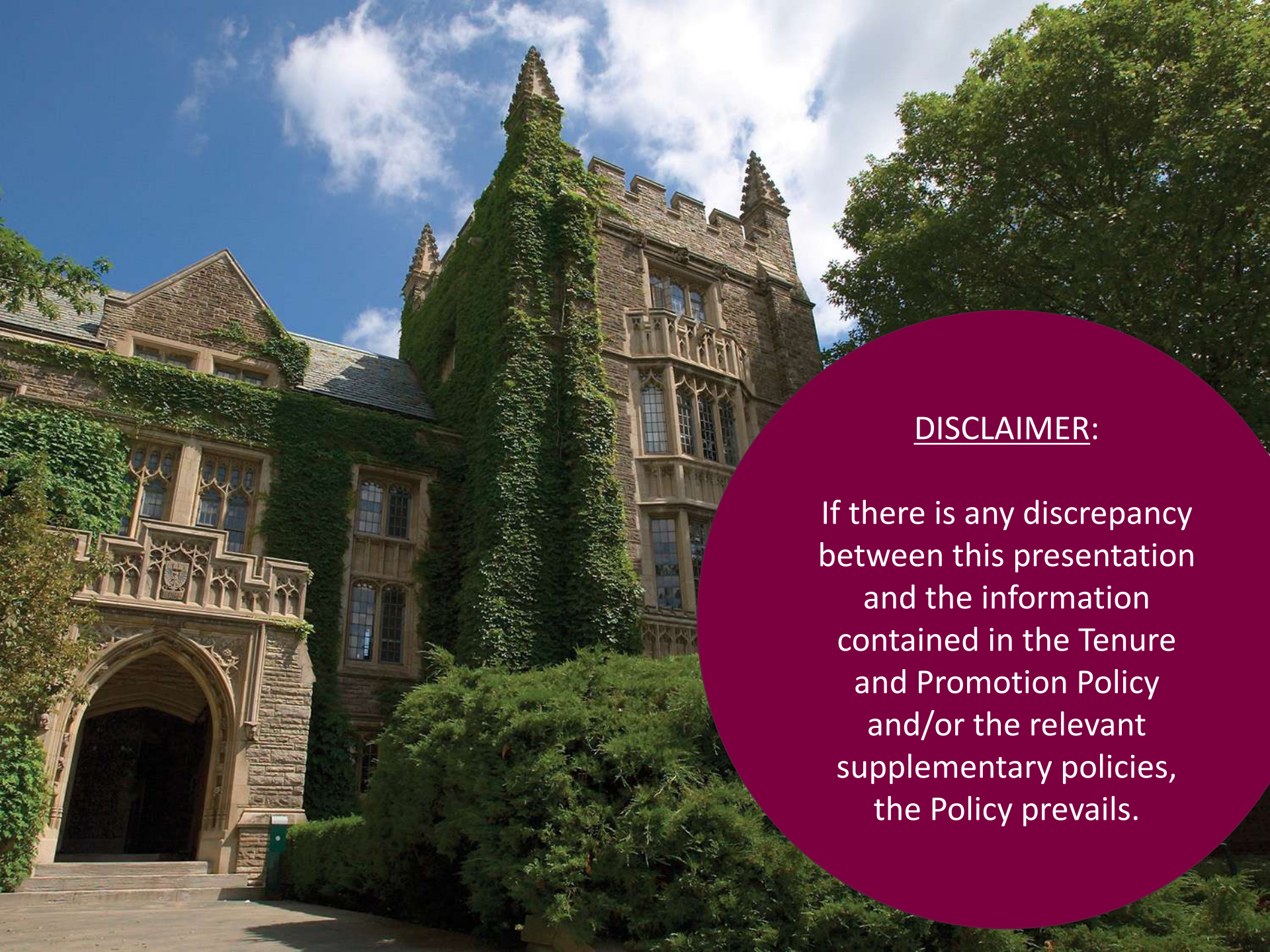
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January 2024

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DISCLAIMER:

If there is any discrepancy between this presentation and the information contained in the Tenure and Promotion Policy and/or the relevant supplementary policies, the Policy prevails.

The tenure and promotion process at McMaster is governed by the <u>McMaster University Revised Policy And Regulations With Respect To Academic Appointment, Tenure And Promotion [2012]*</u>. It provides details regarding the processes which govern the deliberations of various committees at the Department, Faculty, and Senate levels.

The T&P Policy is accompanied by a set of Supplementary Policy Statements (SPS B1 – SPS B13) that address academic assessments and various aspects of the process.

The written T&P Policy takes precedence over any other documents related to T&P procedures at McMaster, including this one.

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Annual Performance Reviews

Department Chairs must conduct annual performance reviews with all tenure-track and teaching-track faculty to discuss their progress in teaching, research, and service (Ref.: Sect. III, 37.a)

- A written summary must be prepared and signed by both the Chair and the candidate

- The written summary should identify both areas of achievement and areas requiring further development

  - For the latter, establish an agreed upon action (e.g. engagement with the MacPherson Institute to improve teaching). A copy of this summary should be kept in the Teaching Portfolio for annual reference.

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Curriculum Vitae & Teaching Portfolio

- **Faculty members must maintain an up-to-date Curriculum Vitae in McMaster format** (see SPS B11) **and a Teaching Portfolio** (see SPS B2)

- Both documents are reviewed by Department Chairs during the annual career review.

- Please send a copy of your CV to Andrea Colbert-DeGeit, Manager, Faculty Relations, for formatting conformity if seeking consideration this year

- If you are seeking reappointment this year, the MacPherson Institute offers a workshop. Please contact Chris Lombardo (lombard@mcmaster.ca) for more information

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When is a Faculty Member Eligible for Consideration?

Tracking dates

- ❑ It is the responsibility of the Department Chair to inform faculty members well in advance when they must be or can be considered for reappointment, permanence, tenure and/or promotion

- ❑ Faculty members should be working toward preparing for reappointment, permanence, tenure and/or promotion from the time they begin their appointment at McMaster

Dossier preparation

- ❑ The final dossier should be completed according to the specifications in SPS B12

Timing of Consideration

Timing is critical to the McMaster T&P process. The academic clock starts on July 1ˢᵗ. The academic clocks for off-cycle start dates begin on the July 1ˢᵗ following the date of appointment

- ❑ e.g., Appointment starts January 1, 2024, the tenure/permanence clock starts on July 1, 2024

- ❑ Clock can be stopped temporarily

  - For approved leaves of absence (maternity, parental)

  - Stop-the-Clocks are documented by Dean's Office and Provost's Office

  - All letters regarding changes to the timing of assessment are signed by the President and must be signed back by the faculty member. [Section II, Clause 7]

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Tenure-track - Assistant Professor

Each faculty member appointed at the rank of Assistant Professor <u>must</u> be assessed in the <u>3rd year</u> of the initial appointment

- ❑ Usually considered for reappointment for a second three-year term, although a shorter term may be recommended

Tenure and Promotion to Associate Professor <u>must</u> be considered in the <u>5th year</u>

- ❑ The candidate may choose or agree to defer being considered for tenure until the 6th year
- ❑ Deferrals need to be submitted in <u>writing</u> to the Department Chair and the Dean's Office

Final review of the case for tenure and promotion <u>must</u> occur in the <u>6th year</u>

- ❑ If not granted, the appointment will be allowed to lapse

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Teaching-track Assistant Professors

For a faculty member who is first appointed as an Assistant Professor in a teaching-track position, the same general timing applies as is described for tenure-track faculty

[Section III, 30]

For teaching-track positions, promotion and permanence are **not** normally linked. Promotion and permanence are **not** expected to occur at the same time except in very exceptional cases.

** Permanence <u>must</u> be considered in the 5th year, unless the candidate agrees in writing to a one-year deferral

** Final review of the case for permanence <u>must</u> occur by the sixth year. If not granted at that time, the appointment will be allowed to lapse.

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Tenure-track: Associate Professor and Professor

First appointment is as an Associate Professor or Professor
- ❑ must be assessed before being reappointed or granted tenure

Associate Professor without tenure
- ❑ <u>tenure must be considered in the 3rd year</u> of the appointment and if not granted, can be renewed but must be considered for tenure in each subsequent year.

For those individuals who have outstanding teaching and research or both, tenure can be considered in the 2nd year.

Full Professor without tenure
- ❑ tenure must be considered in the 2nd year, and if not granted, must be considered in the 3rd year, provided the appointment extends to that year. No one shall be considered for tenure in their first year. [Section III, 31]

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Teaching-track Associate Professor and Professor

A person whose first appointment at McMaster University is as a teaching-track Associate Professor or Professor must be subject to an academic assessment before he or she can be reappointed for a further period or before permanence can be granted. The timing for such assessments is the same as for tenure-track faculty.

** These appointments <u>must</u> be considered for permanence in the third year of the appointment and if not granted must be considered again in subsequent years. [Section III, 32]

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Promotion to Professor

For Promotion to Professor, a tenured faculty member will normally have spent at **least 6 years** at the rank of Associate Professor.

A person that falls within this category should be assessed in their 6th year

- if they choose to wait, they **must** provide their Department Chair with written notice that they do not wish to be considered. The Chair will advise the Dean's Office

For a person at the rank of Associate Professor who demonstrates in **fewer than 6 years** that they deserve promotion to the rank of Professor, early promotion will be appropriate, **if their performance in both teaching and research is truly exceptional.** [Section III, 33-34]

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Dossier Preparation

- Thorough and careful preparation of the dossier is critical to a successful outcome
  - **Please remember to send your CV to the Dean's Office for review of McMaster formatting by March 15th**

- A good dossier:
  - Removes sources of ambiguity
  - Clarifies any potential conflicts of interest or other sources of conflict
  - Increases the candidate's chance of success

The steps for preparing an effective dossier are outlined in SPS B12

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Written Recommendation of the Department

Record the **exact vote** of the department committee by indicating the number of votes in favour, against, absent, abstained, or technical abstention

Committees must avoid all conflicts of interest

Most committee members will have had some interaction with the candidate; however, they should not participate in the process and should register a technical abstention if they:

- Shared research funds or research supervision with the candidate **in the past ten years**
- **Ever** supervised the candidate (e.g., was a supervisor, co-supervisor, or served on their supervisory committee)
- Have had any other close personal or professional relationship with the candidate

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Written Recommendation of the Department

- Recommendations should note whether the candidate is being considered early or on-time

- In the case of **early** promotion, it is important that:
  - This has been made clear to the external reviewers
  - The reasons for early promotion be clearly justified
  - Early promotion to full professor requires excellence in <u>both teaching **and** research</u>

- Anticipate issues that might arise
  - Do not ignore clear weaknesses. Address these and explain why the committee made its decision

- Clarify any issues related to potential uncertainties
  - If the candidate has collaborated extensively, provide an evaluation of the candidate's contributions

- Provide a critical evaluation of the candidate's teaching in all three areas of teaching (undergrad, graduate, and grad supervision)

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Curriculum Vitae

- Follow SPS B11 and CV template
  - Chairs must review CVs and ask for revisions, if needed
  - It is the **faculty member's responsibility** to prepare and keep their CV up-to-date.
  - It is the **Department Chair's responsibility** to ensure that the contents are accurate and not double listed.
  - The Dean's Office will review your CV for formatting and to ensure items are listed under the most appropriate heading / subheading
- Use the tables provided in CV template. They are easier to read and can be helpful in the overall assessment
  - **Remember**: whatever helps the committee, is ultimately good for the candidate

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Curriculum Vitae

- Clarity of dates (list month and year)
  - Degrees – start and end dates
  - Previous employment – start and end dates
  - Appointment date(s) at McMaster
  - All subsequent changes of status (tenure, extension, promotion, etc.)

  - list any special circumstances (e.g., maternity, medical leave, SPS B13 as appropriate) that affect timing

- Education
  - list all degrees, including dates and the name of supervisor(s) for all graduate degrees

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Curriculum Vitae

- Teaching loads – provide a table for last 5 years with:
  - Course code, Course title, Year(s) taught
  - Note leaves or other forms of teaching relief

- Supervision – see tables in CV template:
  - names of all supervised/co-supervised grad students, post-docs and undergrads – separate into completed and in-progress
  - degree program
  - dates (start and end)
  - names of co-supervisors, indicating who was the lead supervisor
  - Provide a summary (# of students supervised in each class, whether finished or in progress)

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Curriculum Vitae

- Research funding – provide a table with:
  - Grant name
  - Names of co-investigators (clearly identify PI)
  - Years
  - Funding agency
  - Annual amounts by year (in the case of a multi-researcher grant identify the amount coming to the candidate)

- Publication lists – provide a clear way of distinguishing the names of the researchers supervised by the candidate (e.g., grad students in bold, other researchers in italics, note role/contribution to publication for multi-author papers with collaborators/colleagues)

Candidate's Statement – Tenure-Stream Faculty

- Two-page Candidate Statement on Research
  - Overview of major research themes, why they are important and how the candidate's work will contribute to advancing the field
  - Self-assessment of the contributions to date. If there are issues, for examples in terms of research productivity (students, publications), this is the place for the candidate to address them
  - Discussion of the role of collaborators. If there has been extensive collaboration, then a discussion of the role played by the candidate is helpful
  - This statement is sent to the referees and is included in the dossier

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Candidate's Statement – Teaching-Stream Faculty

- For Teaching-stream faculty, in the case of **promotion** assessments only, the candidate should provide the following:

  i. Candidate's statement on **pedagogical research / scholarship**, not to exceed two pages in length: This is the same statement that is sent to Referees [SPS B5]

  ii. Candidate's teaching portfolio, parts A and B, as described in [SPS B2]

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Departmental Teaching Evaluation Report (DTER)

- **This report is prepared by the Department Chair or delegate and includes elements outlined in the following SPS documents:**

  SPS B1 – Procedures for the Assessment of Teaching

  SPS B2 – Teaching Portfolios (consists of: 1. Executive Summary & 2. Supporting Documentation)

- Provide comments on teaching, recognizing that the new Q1 on the student evaluations of teaching for undergraduate and graduate course now reflects **the students' perceptions of their learning experience and not the effectiveness of the instructor**

  o Per SPS B2, student comments are <u>not</u> included in the Executive Summary or in the DTER.

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Departmental Teaching Evaluation Report (DTER)

Sound evaluation of teaching mandates evaluation by multiple people, on multiple occasions, and in multiple contexts. [SPS B1]

- Peer observations of teaching are performed each term for all faculty until they reach the level of full professor, and thereafter if a need arises.

  - Tenure-track and Teaching-track faculty should be evaluated annually by their department chair, and provided with written feedback

- Summary of the peer observations of teaching conducted since the last assessment (reappointment, permanence, tenure and promotion)

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Departmental Teaching Evaluation Report (DTER)

- Peer observations of teaching should include several elements: in-class assessment, interview(s) with the candidate, interviews with students (undergraduate and graduate, the latter being from both courses and the candidate's research group)

- All these elements should be noted in the candidates Teaching Portfolio which will be an invaluable reference to Department Chairs at the time of their tenure/promotion assessment.

- Evidence should be included that the observations have been discussed with the candidate

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Departmental Teaching Evaluation Report (DTER)

The DTER should also include:

- significant contributions to the curriculum;

- significant contributions to the development of course materials;

- significant participation in pedagogical discussions with students, colleagues, TAs, in the department or elsewhere;

- evidence of incorporation of some form of formative evaluation in courses and evidence of response to the concerns of students; and

- Information on the common summative question (Q1) on the student questionnaire should be provided. *This information should be set in the context of all the teaching done in the department and should cover all courses taught during the previous five years of service at McMaster University*.

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Candidate's Response to the Departmental Teaching Evaluation Report (DTER)

This is the response submitted by the candidate for placement in the dossier **after having an opportunity to review** the Departmental Teaching Evaluation Report (DTER).

Referees – Tenure-Stream Faculty

- For tenure and promotion of tenure-stream faculty, the department must obtain written judgments on the quality of the candidate's scholarly work from at least **three** referees **external to the University**.

- The referees must be scholars who have respected national and/or international reputations and can assess whether the candidate is known widely on the basis of scholarship

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Referees – Teaching-Stream Faculty

- For Permanence, review letters are not required.

- Promotion of a teaching-stream faculty member to Associate Professor requires "at least **two** referees **external to the Department or Program** in which the candidate is employed, **at least one of whom must be external to the University**." [Section III, clause 26]

- For promotion to Professor for a teaching-stream faculty member, 'Supporting letters from at least **three** referees **external to the University** are required.' [Section III, clause 27]

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Referee Bio-Sketches

- Credentials of each referee (Reference: SPS B5)

  - Provide a list of referees as well as a bio-sketch of the reviewer's qualifications. The candidate will have an opportunity to review the list after it has been approved by the Dean, but prior to referees being contacted. The candidate may also suggest appropriate additions to the list of referees, within reason [SPS B5, III, 1]

  - The candidate can indicate which papers should be sent to the referee (no limit). Chair may send additional publications but when doing so, must inform the candidate [SPS B5, IV, 1]

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Referee Letters

- Ensure referees are not in a conflict of interest with the candidate
  - Ask the referees to declare if they are in a conflict of interest
  - Potential conflicts need to be clarified with the reviewer and, if deemed necessary, the letter will be considered invalid.
  - All letters received must be included in the dossier. If a referee has a conflict of interest, indicate this in the Written Recommendation of the Chair/Committee, stating that "the letter was not used in the assessment of the candidate."
  - Letters to referees must clearly identify if the candidate is being considered on-time or early/accelerated
  - **Ask referees to make their recommendation based on McMaster's criteria**, not on whether the candidate would be successful at their institution.

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Referee Letters

Important Note:

- All referee letters will be regarded as **<u>confidential</u>** and will be made available only to the Department and Faculty Committees on Tenure and Promotion and to the Senate Committee on Appointments.

- In the case where a candidate is unsuccessful at any stage in the process, unattributed/redacted copies of the original external letters of reference will be provided to the candidate by the Department Chair or the Dean's Office.

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Considerations for Conflict of Interest

- An academic who is a significant collaborator with a candidate for appointment, tenure/permanence, promotion, or reappointment may be perceived to be in conflict of interest.

- Whether or not an individual is a "significant" collaborator must be judged on a case-by-case basis.

- The Chair of the Committee should raise the issue of potential conflict of interest if one of the following is apparent.
  - In an appointment process any candidate supervised in their graduate work by a member of the Committee or is currently working or has worked as a post-doctoral fellow with one or more members of the Committee
  - A CV for any candidate shows the name(s) of one or more Committee members as co-author(s) or co-investigator(s)

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Considerations for Conflict of Interest

In any one of these instances, the Chair will ask the Committee member(s) to outline the nature and extent of the relationship with the candidate. The Committee member(s) will declare a technical abstention and recuse themselves from the meeting while the Committee considers the potential conflict and votes on the issue.

For further details on how to register the vote and what documentation is required in this instance, kindly refer to SPS B4

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Questions?

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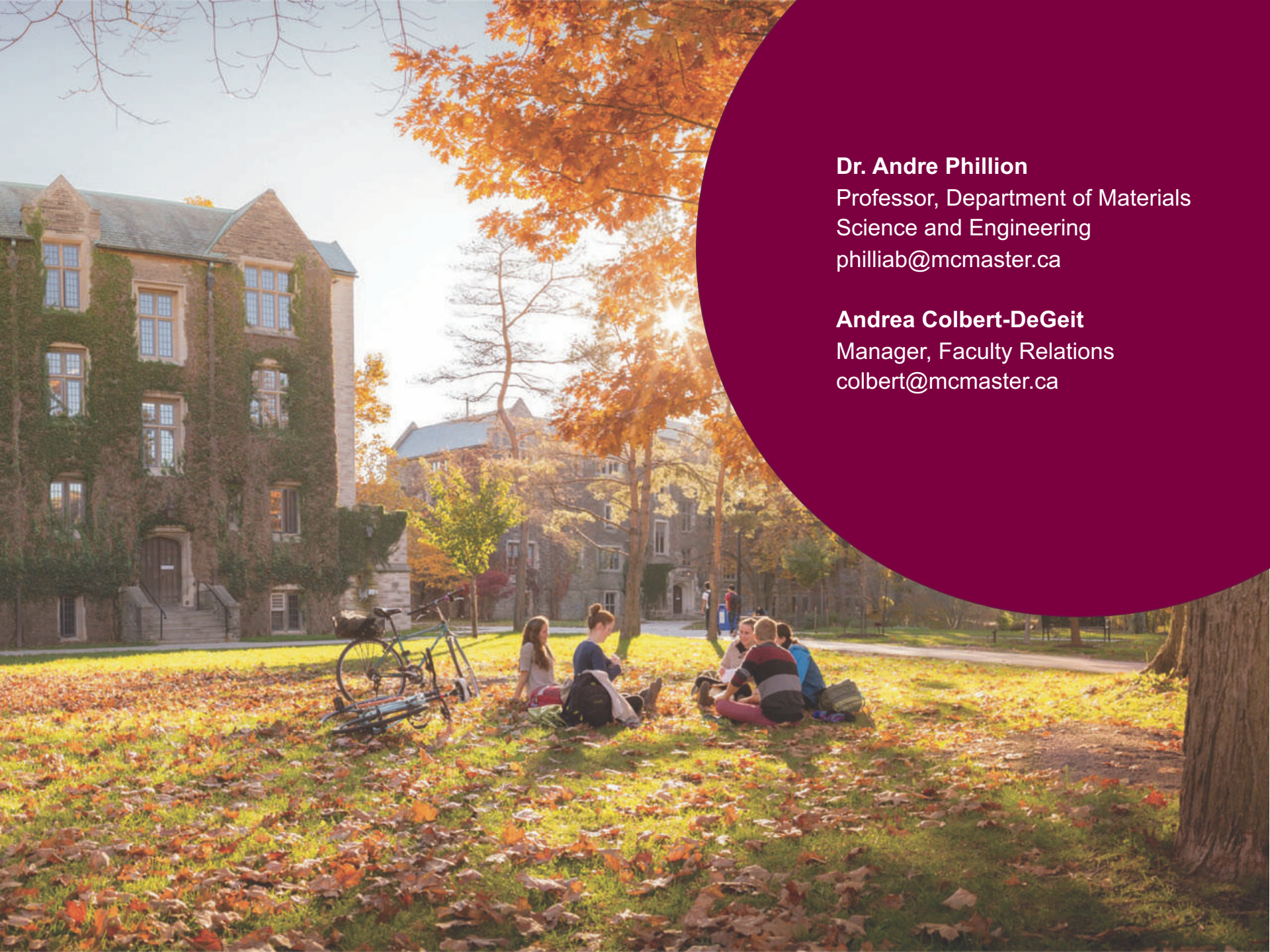
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