

McMaster University Revised
Policy and Regulations
with Respect to
Academic Appointment, Tenure and Promotion
(2012)

Revisions: Approved by Senate — December 14, 2011
Approved by Board of Governors — December 15, 2011

McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion (2012)

Table of Contents

		Page No.
Section I	Preamble	1
	Delegation of Powers.....	1
	The Nature of Academic Tenure	1
	Definitions.....	2
Section II	Appointment to the Teaching Staff.	4
	Classes of Appointment.....	4
	Tenure-Track and Teaching-Track Appointments	6
	Appointments for Contractually Limited Periods.	7
	Procedures for Making Full-time Appointments.....	9
	Reports to Senate.	13
Section III	Academic Assessments for Re-appointment, Tenure and Promotion.	14
	Introduction.	14
	The Nature of an Academic Assessment.	14
	Effective Teaching	14
	Scholarly Achievement	15
	University Responsibilities.	17
	Specific Criteria.	17
	For Tenure and Promotion to Associate Professor.	17
	For the Tenuring of Associate Professors and Professors.....	18
	For Promotion to Professor.	18
	For Permanence of a Teaching-Track Position.	18
	For Promotion of a Teaching-Stream Faculty Member.	18
	Timing of Academic Assessments.	19
	Procedures Governing Academic Assessments.....	22
	At the Department Level.....	22
	At the Faculty Level.	25
	At the Level of the Senate Committee on Appointments.	28
Section IV	Appeal Procedures	32
Section V	Suspension of a Faculty Member	36
Section VI	Procedures for Removal.	37
Section VII	Termination of a Teaching Track or Permanent Teaching Faculty Position. .	42
Section VIII	Implementation, Promulgation and Revision.	43
Appendices	Appendix A - Pertaining to the Faculty of Health Sciences.	45
	Appendix B - Supplementary Policy Statements.	46
	Appendix C - Reduced Workload Provisions While on a Tenure-Track or Teaching-Track Appointment.	49

SECTION I

PREAMBLE

1. This policy, with respect to academic appointment, tenure, permanence, and promotion, applies only to full-time faculty and to those faculty members who hold appointments requiring at least the equivalent of three-quarter service, which may be spread through the year or given as a block within a year; such equivalence shall be interpreted as three-quarters of the time normally required to meet the responsibilities of full-time appointments. The requirement of at least three-quarter service as defined above may apply to faculty holding tenure-track or tenured appointments, teaching-track or permanent teaching appointments, and special appointments or continuing appointments without annual review.

Hereinafter, reference to full-time faculty shall be taken also to mean faculty on three-quarter time.

DELEGATION OF POWERS

2. *The McMaster University Act (1976)* assigns to the Board of Governors, subject to certain provisions, the powers "to appoint, promote, suspend or remove. The members of the teaching staff of the University "Appointments with tenure, and promotions, are therefore legally conferred at McMaster University by the Board of Governors upon such persons as may be nominated by the Senate and recommended by the President.
3. With regard to appointments, *The McMaster University Act* and the By-laws of the Board of Governors delegate to the President of the University the power to make appointments that are for a stated period of time.

The power to suspend a member of the teaching staff appointed to the University under the terms of this policy has been delegated by the Board of Governors to the President.

In matters having to do with the removal of a member of the teaching staff, the Board of Governors may decide to delegate its responsibilities to a committee of the Board.

4. The By-laws of the Senate delegate to the Senate Committee on Appointments the Senate's responsibilities for:
 - a. deciding upon all recommendations from the Faculties having to do with the granting of tenure or permanence to, or the promotion of, members of the teaching staff, and informing Senate of its actions;
 - b. receiving the decision of any Hearing Committee (established under Section VI of this policy) on the removal of a member of the teaching staff, recommending to and consulting with the Board on any such recommendation for removal, and informing Senate of its actions.

THE NATURE OF ACADEMIC TENURE

5. a. Tenure, for the purposes of this document, is defined as an appointment held by a full-time member of the teaching staff of the University that cannot be terminated before that member's retirement except for cause under the conditions specified below. Permanent teaching appointments (see Section II, clause 4(f)) and continuing appointments without

annual review (Section II, clause 4(d)) can be terminated other than for cause, as specified in Sections VI and VII and Section II, clause 4(d), respectively.

- b. Tenure provides an effective safeguard for academic freedom, which includes, *inter alia*, the following rights: independent inquiry and criticism; participation in the making of academic policies; and the exercise of honest and unfettered judgement on matters both inside and outside the University (see the Senate-approved Statement on Academic Freedom: Appendix B, SPS E1).
- c. Tenure entails acceptance by a faculty member of the obligation to perform conscientiously his or her functions as a teacher and as a scholar, and to assume reasonable University responsibilities. To qualify for tenure, the individual shall have demonstrated academic excellence.
- d. Tenure shall be granted only by a definite act, under stipulated conditions, on the basis of merit alone. The University's financial circumstances shall not be a reason for withholding tenure from a faculty member qualifying for tenure by merit. Further, a faculty member's salary history shall not be provided to, or considered by, the committees reviewing the cases for tenure and/or promotion.

DEFINITIONS

6. In the context of this policy, the following definitions apply:
- a. "Department" means a formally recognized academic Department, School, Area or section of a Department, where appropriate.
 - b. "Provost" means the officer who is the Provost and Vice-President (Academic). "Dean of Graduate Studies" means the officer who is the Associate Vice-President and Dean of Graduate Studies.
 - c. "Faculty Appointments Committee" means the committee comprising the Faculty Dean as Chair, the Provost, the Dean of Graduate Studies and the Department Chair as referred to in Section II, clause 16(d).
 - d. "Guideline" means any interpretation of the University's criteria for tenure or permanence and promotion, as described in this policy document, that has been reviewed and approved by the Senate Committee on Appointments. Such guidelines shall not constitute any part of this policy and to the extent that any guideline is in conflict with this policy or any part hereof, this policy shall supersede any guideline.
 - e. "Program" means a Senate-approved, interdisciplinary course of study at the undergraduate or graduate level which is not the sole administrative and academic responsibility of any one Department.
 - f. "Supplementary Policy Statement" (SPS) means any statement of policy and/or procedures, other than those described by this document, that relates to matters of appointment, tenure, permanence, or promotion. Changes to these statements, listed in Appendix B of this document, are subject to Section VIII, clause 4 of this document. In the event of an

inconsistency or conflict between this policy and any of the supplementary policy statements, this policy shall take precedence.

Other terms are defined in the text of the document.

SECTION II

APPOINTMENT TO THE TEACHING STAFF

1. As noted in Section I, under the terms of *The McMaster University Act* (1976) and the By-laws of the Board of Governors, the President has the power to make appointments to the teaching staff that are for a stated period of time.
2. A resignation from the teaching staff shall be deemed to be effective from the date specified by the person resigning, once the resignation has been received and acknowledged by the President. That receipt and acknowledgment will normally precede, but may follow, the date of resignation. The date of the resignation may have a bearing on whether or not it is appropriate to consider formally a recommendation for tenure/permanence and/or promotion of the faculty member concerned (see Section III, clause 36).

CLASSES OF APPOINTMENT

3. "Appointment" in this document means full-time appointment (except as allowed for in clause 5 below) to the rank of Professor, Associate Professor, Assistant Professor, or Lecturer, in a formally recognized academic Department or Departments. An appointment may also involve participation in a Program or in the work of another Department. These arrangements may take the form of "joint" appointments or associate memberships as described in SPS A5 (Appendix B). In exceptional circumstances (for example, the teaching needs of a Program at a particular point), an appointment may be made to a Program only (rather than to a Department or to a Department and a Program), but such appointments may occur only within the contractually limited class of appointments described in clause 4(g) below. The number of such exceptions and Programs to which the appointments have been made shall be reported annually to the Senate and the Board of Governors by the Provost (see clause 19 below).
4. There are three streams of appointment at McMaster University: tenure-stream (tenure-track and tenured), special-stream (special and continuing appointment without renewal), and teaching-stream (teaching-track and permanent teaching). In addition, there are contractually limited appointments. This results in seven classes of appointment:

- a. **Tenure-Track:** those that imply that, at the end of a stated period, the University will confer tenure on the candidate, or extend the period of appointment, or allow the appointment to lapse.

A tenure-track appointment shall be made only at the rank of Assistant Professor, Associate Professor or Professor.

- b. **Tenured:** those that confer tenure.

An appointment to McMaster University that confers tenure from the date of appointment normally may be made only at the rank of Professor. However, an outstanding candidate who already holds tenure at another university may be considered for an appointment that confers tenure from the date of appointment at the rank of Associate Professor.

- c. **Special:** those appointments for persons who receive their salary support from funds other than those allocated by the University; these are similar to the tenure-track appointments

described in subsection (a) above except that continuation of the appointment, for the length of the designated period, is contingent upon the member's receiving continuing salary support from his or her outside funding agency for that designated period. Any reference throughout this document to tenure-track appointments shall be taken also to mean special appointments.

A special appointment shall be made only at the rank of Assistant Professor, Associate Professor or Professor.

- d. **Continuing Appointment Without Annual Review:** those full-time appointments that are similar to appointments that confer tenure in every respect, save one: the continuation of the appointment is contingent upon the member's receiving and continuing to receive salary support from his or her outside funding agency. Any reference to tenured appointments and to the granting of tenure shall be taken also to mean continuing appointments without annual review and to the granting of such status (see also Appendix B, SPS A10).

An appointment to McMaster University that confers continuing appointment without annual review from the date of appointment normally may be made only at the rank of Professor. However, an outstanding candidate who already holds tenure or the equivalent at another university may be considered for an appointment that confers continuing appointment without annual review from the date of appointment at the rank of Associate Professor.

- e. **Teaching-Track:** those made for teaching purposes specifically. Teaching will be the primary expectation of these positions. Teaching-track faculty are expected to keep abreast of developments in the discipline in which they teach, and are to consult colleagues with relevant specific research expertise. While there will be no requirement to engage in research, those teachers who have an interest are encouraged to enhance their classroom teaching and broaden the scope of their educational activity by engaging in such scholarly activities as curriculum development and evaluation, mentoring, and research into the efficacy of different pedagogical approaches; and to share this expertise with their colleagues. These appointments will most likely focus on teaching introductory or other non-specialized courses. The positions create opportunities for individuals who are prepared to devote themselves primarily to teaching within an academic environment. Such appointments are made in the first instance for a stated period, similar to tenure-track appointments. At the end of that period, the University will grant permanence to the candidate in the teaching-track position, or extend the period of appointment, or allow the appointment to lapse. These appointments shall be made only to the ranks of Assistant Professor, Associate Professor, or Professor. Any reference in this document to tenure-track appointments shall also be taken to mean teaching-track appointments, unless otherwise specified. The major exceptions deal with the maximum length of the teaching-track appointment (clause 6(b)(iv) below), the assessment of scholarly achievement (Section III, clause 11), and the decisions on permanence of the appointment and on promotion (Section III, clauses 19-27). Teaching-track appointments may be terminated without fault or cause by reason of curricular change or removal of an area or field. See Section VII for details regarding the procedures.
- f. **Permanent Teaching:** those made only for teaching purposes that confer a permanent position. They may be made only at the rank of Assistant Professor, Associate Professor, or Professor. Any reference in this document to tenured shall also be taken to mean permanent

teaching unless otherwise specified. The major exceptions deal with the assessment of scholarly achievement (Section III, clause 11), the timing of promotions (Section III, clauses 30 and 33-35) and eligibility for membership on Departmental and Faculty Tenure and Promotion Committees (Section III, clause 38 b). Permanent teaching appointments may be terminated without fault or cause by reason of curricular change or removal of an area or field. See Section VII for details regarding the procedures.

It is not possible to make an appointment to McMaster University that confers a permanent teaching position from the date of initial appointment to the University.

- g. **Contractually Limited:** those made for a contractually limited period which shall carry no implication of renewal or continuation beyond the period and no implication that the appointee will be considered for a tenure-stream, special-stream, or teaching-stream appointment.
5. As stated in Section I, clause I, this policy applies not only to full-time faculty, but also to those faculty who hold appointments requiring at least the equivalent of three-quarter service. The letter of appointment to these faculty shall clearly indicate that their appointments provide for three-quarter time service, or greater, as appropriate.

Tenure may be offered to faculty who satisfy the three-quarter time requirement provided that their appointments have been approved by the Faculty Appointments Committee in accordance with the recognized procedures for full-time faculty (clauses 15-17 below). Subject to this requirement, the policy and regulations with respect to the academic appointment, tenure and promotion for such faculty shall be the same as those described for full-time faculty, except that the time limits referred to in Section III, clauses 28-35 shall be interpreted as years of full-time equivalence.

TENURE-TRACK AND TEACHING-TRACK APPOINTMENTS

6. a. The purpose of a tenure-track or teaching-track appointment is to provide a period of mutual appraisal for the University and the candidate. Such appointments do not express or imply ultimate granting of tenure or permanence, nor do they express or imply promotion to a higher rank. The case for tenure or permanence, or for an extension of a tenure- or teaching-track appointment, shall be the subject of an academic assessment focusing on the candidate's abilities and accomplishments as a teacher, scholar and University citizen, as appropriate for the position. The criteria and the procedures for this assessment are described in Section III of this document.
- b. Except in the situations described in clause 7 below, the total duration of a person's tenure-track or teaching-track appointment(s) shall not exceed the time limits specified in sub-sections (i), (ii), and (iii) below.
- i. For a person initially appointed to this University as a full-time Assistant Professor, the total duration of his or her tenure-track appointment(s) shall not exceed six years from the date of that first appointment.
 - ii. For a person initially appointed to this University as a full-time Associate Professor, the total duration of his or her tenure-track appointment(s) shall not normally exceed four years, and in no case shall it exceed six years, from the date of that first appointment.

- iii. For a person initially appointed to this University as a full-time Professor, the total duration of his or her tenure-track appointment(s) shall not exceed three years from the date of that first appointment.
 - iv. For a person initially appointed to this University in a full-time teaching-track position at any rank, the total duration of his or her teaching-track appointment(s) shall not exceed six years from the date of that first appointment.
7. The time limits specified in clause 6(b) above may be extended in the following situations:
- a. when the candidate has been granted special, parental and/or sick leave (see Appendix B, SPS C3-C6);
 - b. when the candidate has been granted a reduced workload in accordance with the conditions set out in Appendix B (Reduced Workload Provisions) or in accordance with the University's Policy on Employment Accommodation;
 - c. when a faculty member has had an unusual career path (for example, he or she undertakes further graduate work or his or her career is redirected during the period of his or her tenure-track appointment(s) at this University).

In all of the above cases, the duration of the extension must be approved by the Faculty Appointments Committee on recommendation of the Department Chair. Any decision to change the time limits specified in clause 6(b) above must be confirmed in writing via a letter from the President, copied to the Department Chair and signed back by the faculty member.

8. a. No tenure-track appointment shall be changed to a contractually limited appointment during the period of the tenure-track appointment.
- b. Faculty members appointed to tenure-track appointments do not have their positions converted to, or followed by, teaching-track appointments. Similarly, faculty members appointed to teaching-track appointments do not have their positions converted to, or followed by, tenure-track appointments. Rather, if such positions in the faculty member's area of expertise become available, the faculty member applies to the advertised position on an equal footing as other candidates.
- c. Faculty members appointed to special or CAWAR appointments normally do not have their positions converted to tenure-track or tenured appointments when external salary support is lost. Rather, if such a position in the faculty member's area of expertise becomes available, the faculty member applies to the advertised position on an equal footing as other candidates. However, in exceptional circumstances, a Faculty Dean, on the recommendation of the Chair, may consider it appropriate to recommend that an appointment be converted without initiation of a new fully-advertised search. The protocol for such a conversion is described in Appendix B, SPS A2.
9. For the purposes of this document, all tenure-track appointments shall be deemed to begin on July 1 coincidental with or next following the date of first appointment to this University.

APPOINTMENTS FOR CONTRACTUALLY LIMITED PERIODS

10. a. A contractually limited appointment shall be made only:

- i. to fill a special instructional need, especially when there is no reasonable assurance of a long-term need in the area concerned;
 - ii. to staff a new course or Program for a trial period as determined by the appropriate University body;
 - iii. to allow for appointments to the rank of Lecturer;
 - iv. to provide for visiting appointments;
 - v. to fulfil functions as determined by a research contract or award covering a specific period only and for which renewal or continuation is not assured;
 - vi. to allow for the appointment in the Faculty of Health Sciences of faculty members whose primary responsibilities lie in the areas of clinical service and/or administrative duties in the health care delivery system; and/or
 - vii. to provide for an appointment at a time when the University's financial position is so severe and uncertain that the normal commitment to a tenure-track or teaching-track appointment would be imprudent.
- b. The appointee shall be informed, in the letter of appointment, of which one or more of the preceding seven categories the appointment is being made in and of the terms and conditions surrounding the appointment.

11. In making new contractually limited appointments, the following conditions shall be observed:

- a. The starting date and the length of the appointment shall be clearly stated in writing.
- b. The duration of the contract will normally be for a period of at least one year. Exceptions to the minimum one-year appointment length would be allowed only in cases such as the following:
 - i. when a contract becomes available after July 1 of the year in question but is for two terms or more, in which case the contract will run until June 30 of the following year;
 - ii. when a contract is needed to replace a faculty member taking a leave of less than a year's duration (though not for less than a term);
 - iii. to allow for short-term appointments of individuals holding full-time appointments elsewhere (though not for less than a term's duration).
- c. The McMaster University Faculty Association will be informed annually in October of all appointments (since the last report) of less than 12 months' duration and the reasons for the appointments.
- d. The procedures for selecting a person for a contractually limited appointment shall be as similar to the procedures for making tenure-track appointments (Section II, clauses 15-17 below) as the category of contractually limited appointment allows.

12. In renewing contractually limited appointments, the following conditions shall be observed:
- a. The individual will undergo an academic assessment by the Department Tenure and Promotion Committee during the final year of the contract, or at the first possible date for contracts with a duration shorter than one year. The candidate will be informed by the Faculty Dean of the outcome of the assessment by December 15 for individuals who have been at the University for more than one year and by March 1 for individuals who are at the University for their first year. This decision is independent of any financial considerations about the position and is meant to inform the candidate that they would, or would not, be awarded the position if the position were to be funded in the coming academic year.
 - b. The decision to fund the position will depend on the financial circumstances of the Faculty in question. The Faculty Dean shall inform the Department Chair and the individual whose contract is about to expire whether or not the position is to be renewed as soon as a decision concerning funding has been made, and no later than June 1.
 - c. Any renewal of an initial contract must be for 12 months or more.
 - d. The maximum period that such appointments shall cover is six years. (See also Appendix A, clause 1).
 - e. If it is known before the deadline for the academic assessment that the position will cease to exist at the termination of the current contract, no academic assessment need be done. The candidate will be informed, in writing, of the termination of the position by December 15 for multi-year contracts and by March 1 for one-year contracts.
13. Normally, a person on a contractually limited appointment will not be eligible for promotion. When a Department wishes to recommend promotion of such a person, they should follow the normal promotion procedures as described in Section III, clauses 19-27.
14. Contractually limited appointments may be followed by tenure-track or teaching-track appointments, at the option of the University. Normally, the candidate shall spend five years in full-time service before being granted tenure or permanence. However, the appointee may ask the Faculty Appointments Committee to take into account the length of the service under the contractually limited appointment(s) when determining the eligibility of the appointee for consideration for tenure or a permanent teaching position. The earliest opportunity for assessment for tenure or permanence shall be clearly stated in the letter offering the tenure-track or teaching-track appointment. Notwithstanding the opportunity for early consideration for tenure or permanence, the terms and conditions spelled out in Section III clause 28(a) shall apply also. The protocol for such a conversion is described in Appendix B, SPS A2.

PROCEDURES FOR MAKING FULL-TIME APPOINTMENTS

15. The procedures for making full-time appointments in the Faculty of Health Sciences may involve requirements additional to those specified below, such as implied through affiliation agreements and licensing bodies. Other Faculties may have requirements concerning Foreign Academics as well. Certain provisions relating to part-time faculty appointments are described in Appendix B, SPSA3 and A4.

16. The various supplementary policies on appointments referred to in Appendix B reflect the administrative structures and arrangements which are in place at a particular time and they may be changed from time to time. Nevertheless, the following provisions should always apply in the making of full-time appointments:

- a. Early in each academic year, and by November 1 if possible, there shall be a review of the number of new full-time faculty to be appointed for the following academic year. Decisions on the number of new appointments will be made by the President after consultation with the Provost and Vice-President (Academic) and others whose advice he or she may seek. Decisions on the distribution and rank of new appointments will be made by the Provost following consultation with Faculty Deans and the Dean of Graduate Studies. The number of teaching-stream positions in each Faculty needs to be considered in light of the numbers specified in SPS A9. The procedures that follow shall apply to all new appointments, whether for new positions or for replacements, and to the renewal of contractually limited appointments where appropriate.
- b. The Faculty Dean and the Department Chair shall ensure that the Department is fully informed of the nature of the vacancy, including the rank at which the appointment may be made and whether the vacancy is for a tenure-stream, special-stream, teaching-stream, or contractually limited appointment.
- c. The Faculty Dean shall ensure that consultation on the appointment takes place within the Department, either through a duly constituted Appointments Committee or through other acceptable means. The Department shall arrange for proper advertising of the position, for locating qualified candidates, for obtaining necessary papers, including letters of reference, and for inviting the candidates judged to be the more promising ones to the campus for interviews. SPS A1 specifies the requirements for the recruitment and selection of new faculty members.
- d. A Faculty Appointments Committee shall be constituted as follows:
 - i. the Faculty Dean as Chair;
 - ii. the Provost;
 - iii. the Dean of Graduate Studies;
 - iv. the Department Chair and/or the Program Director.

When a candidate is being considered for appointment to more than one Department, or to a Department and an interdisciplinary Program, or for a contractually limited appointment to an interdisciplinary Program only, the membership of the Faculty Appointments Committee should be augmented to include the appropriate Faculty Deans, Department Chairs, and/or Program Directors.

- e. All candidates will be interviewed by members of the Faculty Appointments Committee (see 16 d. above). The Department Chair or delegate is responsible for scheduling interviews for each candidate and for ensuring that all members of the Faculty Appointments Committee receive complete files and references for each candidate prior to the interview.
 - The Faculty Dean (or in the case of the Faculty of Health Sciences, a delegated Associate Dean) and the Dean of Graduate Studies (or an Associate Dean of Graduate Studies) must interview all candidates.

- Normally, the Provost (or delegate) will interview all candidates for tenure-track, teaching-track and special appointments.
 - For potential appointments to the ranks of Professor or tenured Associate Professor, an interview must be arranged with the President and Provost.
 - For appointments to the Special or CAWAR stream, where the primary responsibility will be as a Clinical Educator (see Appendix A), the individuals named in 16 d. above who are outside the Faculty should be offered an opportunity for an interview, but such interviews are not mandatory as they are for other candidates.
- f. The Faculty Dean will be responsible for bringing together the views of the members of the Faculty Appointments Committee and those of the Department. While the Committee will not normally hold formal meetings, the Dean is responsible for communicating – and attempting to resolve – minor differences among Committee members in the ranking of candidates. If the Dean is unable to resolve such differences, he or she shall convene a meeting of the Faculty Appointments Committee.
- g. Whenever there is a substantial disagreement within a Department concerning an offer of appointment, the Department Chair, accompanied by a Departmental colleague whose opinion on the appointment differs from that of the Chair, should meet with the Faculty Appointments Committee in order that the Committee is fully informed of the differences of opinion about the appointment within the Department.
- h. Whenever there is a substantial disagreement between a Faculty Appointments Committee and a Department, the Faculty Committee shall consult the Department. The Department Chair may, at his or her discretion, insist on a meeting of the Faculty Committee with all tenure or teaching-stream members of the Department.
- i. Whenever a substantial disagreement over an appointment continues to exist, the Faculty Appointments Committee (as defined in subsection (d) above) shall be expanded by three persons as follows:
- i. The first person shall be the Chair or a former Chair of another Department in the Faculty in question chosen by the individual party to the disagreement. When the disagreement is between the Chair and the majority of tenure or teaching-stream faculty members in the Department in question, that person will be chosen by the Chair. When the disagreement is between the Faculty Appointments Committee and the Department, that person will be chosen by the Dean.
 - ii. The second person shall be the Chair or a former Chair of another Department in the Faculty in question chosen by the group that is party to the disagreement using the University's standard preferential balloting process. When the disagreement is between the Chair and the Department all tenure or teaching-stream faculty members in the Department other than the Chair are entitled to vote. When the disagreement is between the Faculty Appointments Committee and the Department, all faculty members in the Department including the Chair are entitled to vote.

- iii. The third person shall be named by the President from among the full-time faculty of the University.

The procedures to be used by the expanded Appointments Committee in receiving submissions from interested parties, in deliberating on the issues surrounding the disagreement and in making its recommendations to the President are left to the discretion of the Committee.

- j. When parties are in agreement, the Faculty Dean will communicate the recommendation of the Faculty Appointments Committee for a new appointment in writing to the Provost, with copies to the Committee members. The recommendation shall include all information on the terms and conditions of the appointment, specifically: rank, salary, effective date and duration of appointment, contingent features relating to completion of the PhD, and any other special stipulations bearing on the terms and conditions of the appointment.
- k. The Provost shall ensure that any new appointment that is also to include the immediate conferral of tenure has the approval of the appropriate Faculty Tenure and Promotion Committee and the approval of the Senate Committee on Appointments before a formal letter of appointment is prepared for the President's signature; the Senate Committee shall forward the recommendation for tenure through the Senate, for information, to the Board of Governors (see Section I, clauses 2-4). In the absence of the President, but with the President's approval, the letter may be signed by the Provost. A copy of the letter of appointment, once signed, will be sent to the Provost, the Faculty Dean, the Dean of Graduate Studies, and the Department Chair.

The letter of appointment and the Tenure and Promotion Policy constitute the entire agreement between the University and the appointee with respect to his or her appointment, and the letter of appointment shall contain a statement to this effect. In addition, the letter of appointment shall indicate that any changes or promises of changes in the faculty member's appointment status (e.g., extension of appointment, tenure, permanence, and/or promotion), in order to have effect, must be communicated to the faculty member in a letter bearing the President's signature.

- l. In the case of new appointments that do not immediately confer tenure, all letters of appointment to the ranks of Lecturer, Assistant Professor, Associate Professor or Professor will be forwarded by the office of the Provost to the President for signature. A copy of the supporting material will be provided for the President. The President retains discretion over and responsibility for appointments as stated in the *University Act* and the By-laws of the Board of Governors. While it is expected that he or she will normally act on advice when it reflects a consensus, he or she reserves the right to accept an appointment recommendation, to reject it, or to refer it for further consideration and advice to the Senate Committee on Appointments or to any other person or body. A copy of the letter of appointment, once signed, shall be sent to the Provost, the Faculty Dean, the Dean of Graduate Studies and the Department Chair. The Provost shall forward to the Senate Committee on Appointments the recommendation for appointment together with necessary supporting material for the Committee's information. In the absence of the President and with his or her approval, the letter may be signed by the Provost.
- m. If the candidate accepts the offer of appointment, a copy of the appointment letter will then be sent by the President's Office to the Human Resources Department. Notification of the

acceptance or rejection of the offer of appointment will be sent by the President's Office to the Provost, the Faculty Dean, the Dean of Graduate Studies and the Department Chair.

17. In the making of all appointments to the teaching staff, the Faculty Appointments Committee shall ensure that all relevant University policies and procedures are adhered to, including those listed in Appendix B, SPS A1 – A11.

REPORTS TO SENATE

18. At the first Senate meeting in each academic year, the Provost shall report to the Senate and the Board of Governors in open session the total number of full-time faculty in the seven categories of appointment (see clause 4 above) as of June 30 of the current year. This information shall be reported by Department and summed by Faculty for each of the previous five years.
19. At the same meeting of Senate, the Provost shall also report to the Senate and the Board of Governors in open session the total number of contractually limited appointments made in each of the categories listed in clause 10(a) above, by Department and Program for the past five years. The number of appointments in each of these categories as of September 1 of the current academic year shall be included in the table.
20. A list of all Adjunct and Visiting appointments of three months and more also must be provided by the Provost to Senate in September of each year. Visiting appointments of less than three months are reported to the Dean for information (SPS A3 and A4).

SECTION III

ACADEMIC ASSESSMENTS FOR RE-APPOINTMENT, TENURE, PERMANENCE, AND PROMOTION

INTRODUCTION

1. The renewal of a faculty appointment and the awarding of tenure, permanence, and/or promotion shall only be done following an academic assessment of the faculty member concerned.
2. Academic assessments shall focus on the abilities and achievements of the faculty member as a teacher, scholar and University citizen as appropriate for the position. (See clause 8(a) below and also Appendix A.) Academic assessments shall be initiated at the level of a candidate's Department and, depending on the circumstances, may involve other Departmental Committees, Program Directors and referees. The criteria, timing, and procedures for the assessments are described below.
3. In Section I of this document, the statement is made that tenure entails acceptance by a faculty member of the obligation to perform conscientiously his or her functions as a teacher and as a scholar, and to assume reasonable University responsibilities. The roles of teacher and scholar are the principal ones and, as is made clear below, the meritorious performance of University responsibilities cannot substitute for either of these roles. In a research-intensive university like McMaster, teaching and scholarship ideally interact with one another. The scholar does not merely relay information, but through active involvement in the discovery of knowledge exposes students to the process as well as the product of scholarly inquiry. Hence, to qualify for tenure and promotion, a faculty member must be involved successfully in both teaching and scholarship and have demonstrated academic excellence.
4. Similarly, acceptance by a faculty member of a permanent teaching position carries with it the obligation to perform conscientiously his or her functions as a teacher, and to assume reasonable University responsibilities. The role of teacher is the principal one; the expectation for a permanent Teaching Professor is continued exceptional teaching as the primary way by which academic excellence is demonstrated. In keeping with the research-intensive nature of McMaster, this teaching role will ideally (but not always) be complemented by scholarship related to teaching. Examples include contributions to curriculum development beyond the course level, and presentations or publications on teaching or pedagogy.

THE NATURE OF AN ACADEMIC ASSESSMENT

Effective Teaching

All faculty are expected to maintain a Teaching Portfolio as outlined in SPS B2. A teaching portfolio is a record of a faculty member's teaching methods, accomplishments and goals. One purpose of a teaching portfolio is to represent the faculty member's involvement in teaching to potential reviewers. The portfolio is owned by the faculty member and may contain any and all information that the faculty member wishes to document.

5. A candidate for re-appointment, tenure and/or promotion must demonstrate that he or she is an effective teacher. Committees, in judging teaching effectiveness, shall seek assurance that the candidate has a scholarly command of his or her subject, is both willing and able regularly to assist

students in understanding the subject, and is able to assess students' performances in an equitable and effective manner.

6. A candidate for permanence must demonstrate that he or she is an excellent teacher. The required standard of performance is higher for teaching-stream faculty than for tenure-stream because this is the primary criterion by which teaching-stream faculty are judged; there are not two equally important criteria as there are for tenure-stream faculty.
7. Teaching encompasses the selection and arrangement of course topics and materials, lecturing, leading class and seminar discussions, assisting students during office hours, laboratory and studio teaching, marking of student submissions (especially when editorial comments are given to the student), the setting of examinations that permit accurate assessment and continue the learning process, and the supervision of student research at both the undergraduate and graduate levels. Teaching-stream faculty are not normally expected to be involved in graduate courses or supervision, although it will sometimes be possible (as, for example, in the MBA Program).
8.
 - a. The assessment of a candidate's teaching shall be based on student and peer evaluation. SPS B1 provides direction as to the mechanism for achieving this.
 - b. While questionnaires are an accepted way of assessing undergraduate teaching effectiveness, interviews with students are preferred for the assessment of graduate instruction and supervision.
9. The Department Chair shall ensure that questionnaires used in the evaluation of teaching are properly conducted, collected, processed and recorded. The Chair, at an appropriate time, shall discuss the evaluations with the faculty member and provide contextual information (see SPS B1, III).
10. Before the Departmental Tenure and Promotion Committee forwards its recommendation to the Faculty Tenure and Promotion Committee, it shall provide the candidate with an opportunity to comment on or provide an explanation for any evaluation of the candidate's teaching which is part of the Departmental submission (see SPS B1 and SPS B12).

Scholarly Achievement

11. The search for new knowledge, whether in the form of new understandings of the natural world or new interpretations of the human one, is an essential part of the role of the modern university. Hence, it is expected that all tenure-track and tenured faculty members will be engaged in some form of scholarly activity and the assessment of the quality of this work will be a key factor in the consideration of each faculty member's case for re-appointment, tenure and/or promotion. As is discussed in clauses 26-27 below, scholarship in teaching or pedagogy is required for promotion for teaching-stream faculty. In those assessments, these same guidelines should be followed, except for the number of external evaluations.
12. It is generally accepted within the university community that an assessment by other scholars working in the same field, or closely related fields, is the best way of determining the quality of scholarly work. This assessment finds expression in the acceptance of papers and manuscripts for peer-reviewed publication, in academic awards and the approval of research grants, in invitations to present conference papers and university seminars, in critical reviews of published works, in exhibitions or performances, and in confidential letters of reference (see clauses 13 to 16 below).

The weights to be assigned to these different forms of assessment will vary from discipline to discipline and from one decision to another. But the awarding of tenure and the granting of promotion will require that an appropriate assessment of the candidate's scholarly achievements has been made by carefully chosen peers and that they have attested to the high quality of the candidate's work.

13. In all cases where it sends forward a recommendation relating to tenure and/or promotion of a tenure-stream faculty member, the Department shall have obtained written judgements on the quality of the candidate's scholarly work from at least three referees outside of the University. Care shall be taken to ensure that the referees are at "arm's length" from the candidate. In addition, when such a candidate is being considered for promotion to the rank of Professor, the referees must be scholars with respected national and/or international reputations who can assess whether the candidate is known widely on the basis of scholarship, however that may be defined in the discipline in question. (An exception to this requirement is defined in clause 43(b) below.)
14. A list of at least six possible referees known for their work in the relevant field(s) shall be prepared by the Department Chair in consultation with the Faculty Dean and, in the case of a faculty member who participates in a Program, the Director of the Program. The candidate shall be shown this list and may object, and give reasons for objecting, to any person or persons on it. The candidate shall confirm in writing to the Chair that she or he has seen the list of candidates and has had an opportunity to register any objections. The Departmental Tenure and Promotion Committee shall consider any such objection(s), but shall retain the right to select the referee(s) in question and shall inform the Faculty Tenure and Promotion Committee of the objection(s) and its decision(s) concerning the referee(s) (see also Appendix B, SPS B6).
15. There may be occasions when, in addition to the references sought from outside the University, others are solicited from scholarly referees within. In such instances, the same procedures for selection as are described in clauses 13 and 14 shall apply to the extent that that is possible.
16.
 - a. In the case of **tenure-stream appointments**, at least three external letters must be obtained, but all letters received must be made part of the file (SPS B7).
 - b. In the case of **teaching-stream appointments**, letters of reference from external sources are **not** required as part of the process for granting permanence.
 - c. **Promotion of teaching-stream faculty with permanence** to the rank of 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. The referees must be experts with regard to teaching and learning who can assess whether the candidate is known widely on the basis of contributions to pedagogy (SPS B8).
 - d. **Promotion of teaching-stream faculty to the rank of Professor** requires letters from at least three referees external to the University. The referees must be experts with regard to teaching and learning who can assess whether the candidate is known widely on the basis of contributions to pedagogy (SPS B8).
 - e. In the case of **CAWAR or tenure assessments of Clinician Educators**, at least three letters must be obtained containing written judgements on the quality of the candidate's clinical scholarly work. The referees in this case may be either internal or external to the University (SPS B9) and will be asked to evaluate the candidate based on criteria consistent with clinical service activities within this academic setting.

- f. In the case of **promotion to Professor of Clinical Educators**, at least three letters must be obtained from referees external to the University (SPS B9). Referees will be asked to evaluate the candidate based on criteria consistent with clinical service activities within this academic setting. Such referees must be scholars with respected national and/or international reputations who can assess whether the candidate is known widely on the basis of scholarship; however that may be defined in the discipline in question. (An exception to this requirement is defined in clause 43(b) below.)

Although a minimum number of referees must be consulted, additional referees may be used. All letters solicited from referees in accordance with SPS B5 or SPS B6 must be made part of the file.

University Responsibilities

17. It is expected that, as a University citizen, each faculty member will assist at some level(s) in the committee work of the University and perform such assignments diligently and effectively. The meritorious performance of these duties shall not substitute for either effective teaching or scholarly achievement in the consideration for re-appointment, tenure, permanence, and/or promotion; however, unsatisfactory performance in the discharging of these duties may be an important factor in the delaying or denial of tenure, permanence and/or promotion.
18. The same considerations shall apply for service related to the role of the University in the community, to international activities, and to professional service associated with a candidate's discipline.

SPECIFIC CRITERIA

For Tenure and Promotion to Associate Professor

19. For a person appointed at the Assistant Professor rank in a tenure-track position, tenure and promotion to Associate Professor are inextricably linked. A recommendation from a Department cannot be for tenure only; it must be for tenure and promotion to Associate Professor. Neither a committee reviewing the recommendation nor an appeal tribunal reviewing a decision on the recommendation can divide the recommendation into separate components.

Hereinafter, reference to the granting of tenure to a tenure-track Assistant Professor shall mean also the granting of promotion to the rank of Associate Professor.

20. A candidate for tenure and promotion to Associate Professor must demonstrate that he or she is an effective teacher. He or she shall have established a promising program of scholarly work at McMaster University and be making the results of this work available for peer review in the public domain. In the majority of disciplines, this will mean that there should be evidence of successful peer-reviewed publication and strong promise of more to come. In certain professional disciplines and in the fine and performing arts, an equivalent achievement must have been attained and equal promise demonstrated. Consideration also shall be given to the candidate's performance of his or her University responsibilities (see clauses 17 and 18 above). This requirement for a McMaster based program of research does not imply that work done prior to the tenure-track appointment at McMaster should not be considered.

For the Tenuring of Associate Professors and Professors

21. Candidates for tenure who are Associate Professors or Professors must have demonstrated that they are effective teachers. They must also have established their reputations as scholars through successful peer-reviewed publications or equivalent achievement. Consideration also shall be given to the candidate's performance of his or her University responsibilities (see clauses 17 and 18 above).

For Promotion to Professor of Tenure-Stream Faculty

22. The rank of Professor is the highest rank the University can bestow, and its conferral on an Associate Professor shall be only in recognition of high achievement in teaching and research. Promotion to the rank of Associate Professor is not a guarantee of promotion to the rank of Professor.
23. For promotion to the rank of Professor, a tenured faculty member shall have achieved a high degree of intellectual maturity. He or she shall have a good record as a teacher and shall be known widely on the basis of high-quality scholarship, which has been evaluated by established scholars in the appropriate fields and has been published. The high-quality teaching and scholarship must both have been sustained over a period of years. He or she shall have performed his or her University responsibilities in a satisfactory manner.

For Permanence of a Teaching-Track Position

24. For a person appointed to a teaching-track position, promotion and permanence are not linked. Promotion may also happen, but is not expected to occur at the same time, except in very exceptional cases when a recommendation for promotion may be considered at the same time as a recommendation for permanence. In all other cases, promotion recommendations will be considered separately at the normal promotion period.
25. A candidate for a permanent teaching position must have demonstrated that he or she is an excellent teacher, has developed as an educator, and thereby has shown academic excellence. Consideration shall also be given to the candidate's performance of his or her University responsibilities (see clauses 17 and 18 above). Evidence of scholarship is not required for the decision on permanence of the position, but is welcome when it is available. External letters of reference will not normally be expected because neither national nor international reputation is expected at this stage of career for these appointments. Consequently, the peer assessment of teaching will be especially important. (See item 4 in SPS B12, and also SPS B1.)

For Promotion of a Teaching-Stream Faculty Member

26. For promotion to Associate Professor of a teaching-stream candidate, the criteria include not only excellent teaching and satisfactory performance of University duties as described in the previous clause, but also evidence of recognition external to the Department for the candidate's contributions. These contributions can take the form of curriculum development and/or evaluation (beyond the individual course), presentations and scholarship on teaching or pedagogy, mentoring, or research into the efficacy of different pedagogical approaches. Promotion 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.

27. Promotion to Professor for a teaching-stream individual would be possible, although it is not expected to be the norm. Promotion to Professor requires evidence of a national or international teaching reputation, such as significant external teaching awards, peer-reviewed scholarship on teaching, and delivery of conference papers on pedagogy. Supporting letters from at least three referees external to the University are required. The letters should be obtained as described in clauses 13- 16 above and in SPS B5.

TIMING OF ACADEMIC ASSESSMENTS
(see also Section II, clauses 7 and 14)

Assistant Professors: Re-appointment and the Awarding of Tenure and Promotion to Associate Professor (see also clause 19 above)

28. a. A person whose first appointment to this University is as a full-time Assistant Professor in a tenure-track position must be the subject of an academic assessment before he or she can be re-appointed for a further period or before tenure and promotion can be granted. Irrespective of the length of the initial appointment and any subsequent re-appointments, however, the following conditions shall apply:
- i. Normally, the candidate shall spend five years in full-time service before being granted tenure. Tenure must be considered during the fifth year of appointment. Any recommendation forwarded to the Faculty Committee must be accompanied by external letters of reference (see clauses 12-16 above and SPS B4 and SPS B5). If the Department decides to take no action in the fifth year of a continuing tenure-track appointment, the candidate must concur in writing with this decision and then the final review of the candidate's case for tenure must occur in the sixth year of full-time service, provided the appointment extends to that year, and shall include external letters of reference. If the candidate does not concur, the Department must initiate an academic assessment, which will include obtaining letters from external referees (see clauses 13-16 above).
 - ii. Such a faculty member shall, however, be the subject of an academic assessment in the third year of his or her tenure-track appointment(s), at which time the University shall either extend the tenure-track appointment for one, two or three years, or take no action if the appointment does not expire in that year, or allow the appointment to lapse.
- b. The terms and conditions spelled out in (a) above shall apply also to those persons who were first appointed to this University on contractually limited appointments and are now in tenure-track positions, except that the timing of the assessments and decisions shall take into account the weightings assigned to the years spent in the contractually limited appointments (see Section II, clause 14).
- c. The timing of the assessments and decisions spelled out in (a) above may be altered and/or extended under the provisions of Section II, clause 7, that is, when the candidate has been granted special, parental and/or sick leave, when the candidate has been granted a reduced workload, or when a faculty member has had an unusual career path.
- d. Other exceptions to the terms and conditions spelled out in (a) above will apply in the following situations:

- i. A person whose first appointment to this University is as a full-time Assistant Professor in a tenure-track position and who has had outstanding success in teaching, research, or both, may be considered for tenure in the fourth year of his or her tenure-track appointment(s), but not earlier. A recommendation for tenure made in this year will be treated as an accelerated one.
 - ii. An individual whose first appointment to this University is as a full-time Assistant Professor in a tenure-track position but who has had full-time faculty status at another university following completion of the doctorate, or who has had extensive post-doctoral work or other relevant professional experience, may ask the Faculty Appointments Committee to take into account the length of the previous experience when determining the eligibility of the appointee for consideration for tenure. The earliest opportunity for assessment for tenure shall be clearly stated in the letter offering the tenure-track appointment. Notwithstanding the opportunity for early consideration for tenure, the terms and conditions spelled out in Section III clause 28(a) above shall apply also. However, no such candidate may be considered for tenure before the second year at McMaster.
29. In considering a candidate for a possible accelerated granting of tenure, a Department shall determine and take account of the candidate's wishes in regard to whether he or she wants to have the recommendation go forward. The Department shall not be bound by the candidate's wishes.

Assistant Teaching Professors: Re-appointment and the Awarding of Permanence

30. For a person whose first appointment to this University is as a full-time Assistant Professor in a teaching-track position, the same general timing applies as is described for tenure-track faculty in clause 28:
- a. There must be an academic assessment before he or she can be re-appointed for a further period;
 - b. Permanence must be considered in the fifth year unless the candidate agrees in writing to a one-year deferral;
 - c. Final review of the case for permanence must occur by the sixth year. If not granted at that time, the appointment will be allowed to lapse.

For persons who were first appointed to this University on contractually limited appointments and are now in teaching-track positions, the timing of the assessments shall take into account any agreement on early consideration, as described in the letter of appointment to the teaching-track position (see Section II, clause 14).

Associate Professors and Professors: The Awarding of Tenure

31. A person whose first appointment to this University is as a full-time Associate Professor or Professor in a tenure-track position must be the subject of an academic assessment before he or she can be re-appointed for a further period or before tenure can be granted. Irrespective of the length of the initial appointment and any subsequent re-appointments, however, the following conditions shall apply, unless the timing of the assessments and decisions spelled out in (a) and (b) below has been altered and/or extended under the provisions of Section II, clause 7:

- a. For a person initially appointed to this University as a full-time Associate Professor without tenure, tenure must be considered in the third year of appointment and, if not granted, must be considered again in subsequent years, provided the appointment is extended. For those individuals who have had outstanding success in teaching, research or both, or who have had previous experience as described in clause 28(d)(ii) above, tenure may be considered in the second year. No one shall be considered for tenure during the first year of his or her appointment at the rank of Associate Professor.
- b. For a person appointed as Professor without tenure, tenure must be considered in the second year of appointment and, if not granted, must be considered again in the third, provided the appointment extends to that year. No one shall be considered for tenure during the first year of his or her appointment as Professor.

Teaching Associate Professors and Professors: The Awarding of Permanence

32. A person whose first appointment to this University is as a full-time Associate Professor or Professor in a teaching-track position must be the subject of an academic assessment before he or she can be re-appointed for a further period or before permanence can be granted. The timing for such assessments is the same as for tenure-track faculty, as described in the previous clause.

Associate Professors: Promotion to Professor

33. For promotion to the rank of Professor, a tenure-stream faculty member normally shall have spent at least six years in the Associate Professor rank.
34. There will be outstanding individuals who demonstrate in fewer than six years at the Associate rank that they deserve promotion to the rank of Professor. In such cases, early promotion will be appropriate because the performance in both teaching and research is truly exceptional.

Promotion of Teaching-Stream Faculty

35. For a person appointed to a teaching-track position, promotion and permanence are not linked. Promotion may also happen, but is not expected to occur at the same time. Promotion of an individual in a teaching-track position to Associate Professor must either follow or (in exceptional cases) accompany a recommendation for permanence. A teaching-stream faculty member who has been awarded permanence without promotion and who wishes to be considered for promotion should notify the Department Chair in writing.

Resignations

36. If a faculty member resigns from the University and the letter of resignation is received and acknowledged by the President prior to October 1, then the faculty member shall not be eligible for consideration for tenure and/or promotion. If the receipt and acknowledgment occur after October 1, any recommendation for tenure and/or promotion that is under consideration shall be carried through to its normal completion, if the candidate so wishes.

PROCEDURES GOVERNING ACADEMIC ASSESSMENTS

At the Department Level

37. a. It is the responsibility of the Chair of each Department to inform all members of the Department of the University's criteria for re-appointment, tenure or permanence, and promotion together with any Faculty and Department guidelines or interpretations of those criteria. Faculty members shall be informed at the time of their first appointment by the Department Chair or their Faculty Dean of the performance normally expected of successful candidates for tenure, permanence and promotion. Department Chairs should meet at least once each academic year with all potential candidates for re-appointment, tenure or CAWAR to review and discuss the progress of the faculty member's research program, as well as their teaching and university service. Results of these discussions must be recorded in writing and agreed to by both parties.
- b. The Department Chair shall also inform all members of the Department of the procedures for making recommendations to the Faculty Tenure and Promotion Committee (see Appendix B, SPS B1 through B12).
38. a. Every Department or, where appropriate, a section of the Department, shall have a Tenure and Promotion Committee, hereinafter referred to as the Departmental Committee, and shall elect a faculty member, hereinafter referred to as the elected representative, who shall accompany the Department Chair when recommendations are presented to the Faculty Tenure and Promotion Committee. Both the Department Chair and the elected representative shall be members of the Departmental Committee. This Committee will also be responsible for making recommendations regarding teaching-stream faculty.
- b. Normally, only tenured (not including permanent teaching) faculty members should be members of a Departmental Committee. Any departure from this arrangement must receive the approval of the appropriate Faculty Tenure and Promotion Committee.
- c. A member of a Departmental Committee shall resign from the Committee if a recommendation for his or her tenure and/or promotion is to come before the Committee. In such circumstances, the Department shall name a replacement to the Committee.
- d. Normally, no faculty member shall be a member of more than one of the Departmental Committee, the Faculty Tenure and Promotion Committee and the Senate Committee on Appointments. A member of the Faculty Committee or the Senate Committee on Appointments must recuse himself or herself from any and all discussions at the Departmental level. If the member is asked by the Department Chair to participate at the Department level and the member chooses to serve at the Department level, he or she must recuse himself or herself from all discussion and voting concerning the tenure/permanence and promotion of all the candidates in his or her Department at the higher levels, and also when those candidates are compared with other candidates. Such a technical abstention shall not cause the Committee to lose quorum.
- e. While the process of gathering information may commence earlier in the year, the final determination of all cases shall be the responsibility of the Departmental Committee in place as of July 1. A decision shall be by majority vote of the whole Committee. Non-technical abstentions count as negative votes. In the event of an equality of votes on tenure,

permanence, tenure-track re-appointment, and promotion recommendations, the question is deemed to be decided in favour of the candidate and the recommendation shall be forwarded to the Faculty Tenure and Promotion Committee.

- f. A member of a Departmental Committee who is a significant collaborator with a candidate for re-appointment, tenure, permanence, and/or promotion should not be present when that candidate's case is discussed and/or voted on (see Appendix B, SPS B4). In this event, a technical abstention shall be recorded in the Committee for the member concerned.
 - g. When a Department Chair is eligible to be considered for promotion, the Department shall name a replacement to the Departmental Committee who shall attend the meetings at which the Chair's case is discussed. The replacement shall handle all the details attendant on the preparation of the case for promotion of the Department Chair.
39. a. It is the responsibility of the Department Chair to ensure that the Departmental Committee considers the case of every member of the Department who is eligible to be considered for re-appointment, tenure, permanence, and/or promotion (see clauses 28 to 35 above). In the case of a faculty member who holds a joint appointment in two or more Departments, the Chairs of the Departments involved shall ensure that the assessment is properly co-ordinated. In the case of a faculty member who participates in a Program, the Department shall be responsible for carrying out the academic assessment, but the Program Director shall make a written submission to the Departmental Committee (see clause 49(c) below).
- b. It is the responsibility of each faculty member who is eligible to be considered for re-appointment, tenure, permanence, and/or promotion to prepare and maintain an up-to-date curriculum vitae in accordance with the requirements approved by the Senate Committee on Appointments (Appendix B, SPS B11), an up-to-date Teaching Portfolio (see SPS B2) and to ensure that all the relevant evidence is made available for inclusion in the dossier.
 - c. It is the responsibility of the Department Chair to ensure that a dossier is prepared for each candidate for tenure, permanence, and/or promotion for consideration by Departmental and Faculty Tenure and Promotion Committees and by the Senate Committee on Appointments and that all the relevant evidence is included in the dossier. The contents of the dossier are described in Appendix B, SPS B12.
 - d. The Departmental Committee shall inform itself on the teaching abilities, scholarly achievements and University responsibilities of all candidates for re-appointment, tenure, permanence, and/or promotion. This academic assessment shall be carried out in accordance with the criteria and procedures described in clauses 1-27 above (see also Appendix A).
40. Except for those cases described in clause 43(a) below, the Departmental Committee shall, with respect to each eligible tenure-track candidate in the Department, recommend to the Faculty Tenure and Promotion Committee that:
- a. tenure be granted, or
 - b. no action be taken in regard to tenure, or
 - c. the period of a tenure-track appointment be extended, or
 - d. the candidate's tenure-track appointment be allowed to lapse, or
 - e. promotion be granted, or
 - f. no action be taken in regard to promotion. (See also clause 43 below.)

41. With respect to each eligible teaching-track candidate in the Department, the Departmental Committee shall recommend to the Faculty Tenure and Promotion Committee that:
- a. permanence be granted, or
 - b. no action be taken in regard to permanence, or
 - c. the period of a teaching-track appointment be extended, or
 - d. the candidate's teaching-track appointment be allowed to lapse, or
 - e. promotion be granted, or
 - f. no action be taken in regard to promotion. (See also clause 43 below.)
42. a. The Chair shall notify every candidate for re-appointment, tenure, or permanence of the Departmental recommendation in his or her case on or before October 1, and shall similarly notify every eligible candidate for promotion no later than December 1.
- b. A faculty member who believes that he or she has been unfairly treated because (i) he or she was not considered for tenure, permanence, and/or promotion by the Department, or (ii) he or she has been considered but no recommendation is being made, or (iii) an inappropriate recommendation is being made to the Faculty Tenure and Promotion Committee, may request to be considered or reconsidered by making a submission in writing to the Department Chair no later than October 7 (December 7 in the case of a faculty member being considered for promotion to Professor).
- c. Upon receiving such a request, the Chair shall discuss the matter with the faculty member concerned, and shall provide him or her with a copy of the material considered by the Departmental Committee, along with a copy of the Committee recommendation to the Faculty Committee. It shall be the responsibility of the Chair of the Department to ensure that the confidentiality of the material is maintained. To this end, only unattributed copies of the originals of any external or internal letters of reference shall be provided. Any other written assessments shall be similarly redacted to maintain confidentiality. If the faculty member desires it, there shall be a meeting of the Departmental Committee to consider or re-consider the case. The faculty member shall have the right to appear before this Committee and make submissions thereto; the faculty member may be accompanied by a faculty colleague acting as an advisor.
- d. If, following such consideration of his or her case, the faculty member remains unsatisfied, he or she may convey this information, in writing, to the Faculty Dean, who shall apprise the Faculty Tenure and Promotion Committee of the case (see clause 50(c) below).
43. a. If, after considering the case of a candidate for promotion, the Departmental Committee decides not to recommend promotion, then, unless the candidate so requests it, the case shall not go forward to the Faculty Tenure and Promotion Committee.
- b. In considering each year the case for promotion of an eligible candidate who has previously been denied the promotion (at whatever level of the decision process), the Departmental Committee shall not be expected to obtain new external letters of reference, year in and year out. It will do so only when it believes that there is, *prima facie*, a case to be made for promotion.

- c. A faculty member who is eligible to be considered for promotion may request that he or she not be considered by the Departmental Committee in a particular year. The Departmental Committee shall not, however, be bound by such a request.

At the Faculty Level

44. Every Faculty shall have a Faculty Tenure and Promotion Committee composed of:

- a. the Faculty Dean (Chair); and
- b. five to eight tenured (not including permanent teaching) members of the full-time faculty (as specified in the Faculty By-laws) elected from those holding the rank of Professor or Associate Professor. Of these, at least three shall be Professors and at least one shall be an Associate Professor. They shall be elected for staggered three-year terms by the full-time tenure-stream and teaching-stream members of the Faculty.

Hereinafter, the Faculty Tenure and Promotion Committee shall be referred to as the Faculty Committee.

45. A Joint-Faculty Tenure and Promotion Committee may be established instead of the committee described in clause 44 above, provided that two or more Faculties agree and continue to agree to such an arrangement. The Joint-Faculty Tenure and Promotion Committee shall be composed of:

- a. the Dean of each such Faculty; and
- b. four or five full-time tenured (not including permanent teaching) members of each such Faculty (as specified in the Faculty By-laws) elected from those holding the rank of Professor or Associate Professor. At least two members from each Faculty shall be Professors, and at least one shall be an Associate Professor. They shall be elected for staggered three-year terms by the full-time tenure-stream and teaching-stream members of their Faculty.

The Chair of the Joint-Faculty Committee shall be the Dean from whose Faculty the tenure-track re-appointment, tenure, permanence and/or promotion recommendations are being presented.

Hereinafter, any reference to a Faculty Committee shall apply also to a Joint-Faculty Tenure and Promotion Committee, unless otherwise stated.

46. An Associate Professor shall be required to resign from a Faculty Committee if he or she is being considered for promotion that year. In such circumstances, full-time members of the Faculty concerned shall elect a replacement to the Committee.

47. Within these limits, each Faculty shall prescribe in its By-laws the membership of its Tenure and Promotion Committee.

48. Faculty Committees shall be governed by the following rules and procedures:

- a. The Chair shall be responsible for convening the Committee and shall have a vote in all cases.
- b. A quorum shall be the Faculty Dean(s), and the rest of the Committee save one.

- c. Normally, no faculty member shall be a member of more than one of a Departmental or Faculty Tenure and Promotion Committee or the Senate Committee on Appointments (see Section III, clause 38d).
 - d. A decision shall be by majority vote of the whole Committee. Non-technical abstentions count as negative votes. In the event of an equality of votes on tenure, permanence, tenure-track re-appointment and promotion recommendations, the question is deemed to be decided in favour of the Departmental Tenure and Promotion Committee's recommendation.
 - e. A member of a Faculty Committee who is a significant collaborator with a candidate for re-appointment, tenure, permanence, and/or promotion should not be present when that candidate's case is discussed and/or voted on (see Appendix B, SPS B4). In this event, a technical abstention shall be recorded in the Committee for the member concerned. Such a technical abstention shall not cause the Committee to lose quorum.
 - f. Only members of the Faculty Committee shall be present when decisions are made.
 - g. In arriving at its decision, the Faculty Committee shall keep in mind the necessity of maintaining academic freedom as it is outlined in Section I of this document.
49. a. The Department Chair shall forward the written recommendations of the Departmental Committee to the Faculty Committee with a comprehensive record of the candidate's qualifications and achievements. In the case of a candidate whose appointment calls for a half-time or greater commitment to a Program, the written submission from the Program Director shall be included in the Department's submission to the Faculty Committee. The Chair and the elected representative shall be invited to attend the meeting when candidates from their Department are to be considered and to present the recommendations from their Department. Reports and assessments provided by the Departmental Chair to the Faculty Committee shall be considered confidential. The Chair and the elected representative shall ensure that the Committee is informed of any differences of opinion about the candidate within the Department. The results of the Departmental vote are to be reported to the Faculty Committee and the Senate Committee.
- b. Upon request from a member of the candidate's Department, the Faculty Committee shall invite a member or members of the Department to present a minority view not otherwise represented.
 - c. In the case of a candidate whose appointment calls for a half-time or greater commitment to a Program, the Director of that Program shall be invited to attend the meeting of the Faculty Committee at which the recommendation for the candidate is presented.
50. The Faculty Committee must invite a candidate for an interview if:
- a. it appears that a Departmental recommendation for tenure, permanence, and/or promotion of the candidate is not likely to be supported, or
 - b. it is to be recommended that the candidate's appointment be allowed to lapse, or

- c. it has received, through the Faculty Dean, information concerning the dissatisfaction of the candidate concerning the Department's recommendation or decision about him or her (see clause 42(d) above).

The Faculty Committee also has the right to invite any candidate for an interview. A candidate may be accompanied at the interview by a faculty colleague acting as an advisor. If he or she requests it, the candidate must be provided with a copy of the material considered by the Faculty Committee, along with a copy of the Departmental Committee recommendation. It shall be the responsibility of the Faculty Dean to ensure that the confidentiality of the material is maintained. To this end, only unattributed copies of the originals of any external or internal letters of reference shall be provided. Any other written assessments shall be similarly redacted to maintain confidentiality.

- 51. a. Before a Faculty Committee forwards to the Senate Committee on Appointments a recommendation in the absence of, or contrary to, a Departmental recommendation, it shall communicate its decision and the reasons for it to the Chair of the candidate's Department, and provide an opportunity for the Department to make a further submission to it.
 - b. If the Department decides to make a further submission to the Faculty Committee and, such submission notwithstanding, the Faculty Committee forwards to the Senate Committee on Appointments its earlier recommendation, it shall at the same time inform the Senate Committee on Appointments of the views of the Department. In these circumstances, the Senate Committee on Appointments may invite the Chair and the elected representative to present the views of the Department.
52. The Faculty Committee shall vote to support, reject or modify the recommendations of the Department. If a Department recommendation for an extension of a tenure-track or teaching-track appointment is supported by the Faculty Committee (whether for the same number of years as was recommended by the Department or for a different period), then the decision of the Faculty Committee shall be final and binding within the University. The Dean, as chair of the committee, shall forward such decisions to the President's Office for action, and the extensions of appointments shall be reported to the Senate Committee on Appointments for information. For any faculty member who is subject to consideration by two Faculty Committees (see clause 54 below), the extension of the appointment shall be agreed to by both Committees. If the two Committees disagree on the length of the extension of the tenure-track appointment, the matter shall be referred to the Senate Committee on Appointments for resolution.
53. For all cases other than those covered by the preceding clause, the Faculty Committee shall recommend to the Senate Committee on Appointments that:
- a. tenure or permanence be granted, or
 - b. no action be taken in regard to tenure or permanence, or
 - c. the Departmental recommendation for tenure or permanence be denied and the appointment be extended instead, or
 - d. the candidate's appointment be allowed to lapse, or
 - e. promotion be granted, or
 - f. no action be taken in regard to promotion.

If the Faculty Committee's recommendation is that no action be taken in regard to tenure or permanence, or that an appointment be extended (in spite of a Departmental Committee recommendation that tenure or permanence be granted), or that an appointment be allowed to lapse, or that no action be taken in regard to promotion, the Committee shall prepare for the Senate

Committee on Appointments a statement of the reasons for its recommendation (see also Appendix B, SPS B6).

54. For any faculty member who is subject to consideration by two Faculty Committees, a recommendation from each Faculty Committee shall be submitted to the Senate Committee on Appointments. In the event that the recommendations disagree, the Senate Committee on Appointments shall make the final decision.
55. It is recognized that Faculty Committees generally are best qualified to make academic judgements concerning the teaching and research of members of their Faculty.

At the Level of the Senate Committee on Appointments:

56. The major responsibility of the Senate Committee on Appointments (for composition, see Senate By-law 117) is to ensure comparable academic standards and equitable treatment for all members of the University when decisions are taken concerning tenure, permanence, and promotion. For that reason, the Committee does not consider recommendations out of phase, except in the most unusual circumstances (e. g., see Section II, clause 16(k)). Therefore, recommendations for permanence, tenure, and promotion to Associate Professor from all Faculties are considered together in the late fall of each year, while recommendations for promotion to Professor of tenured faculty and for promotion of permanent teaching faculty are considered in late January or early February. In very exceptional cases, a recommendation for permanence and promotion to Associate Professor may be considered at the same time. When considering all of the above such cases, the Senate Committee shall be bound by a quorum rule that requires the Provost and the Dean of Graduate Studies to be present along with six other voting members. Should the Provost or the Dean of Graduate Studies be unavailable, only a Senate-appointed Acting Provost or Acting Dean of Graduate Studies is an acceptable substitute.
57. The Faculty Dean and one of the elected members from the Faculty Committee shall attend (but not vote at) a meeting of the Senate Committee on Appointments for the purposes of presenting the recommendations of the Faculty Committee.
58. A member of the Senate Committee on Appointments who is a significant collaborator with a candidate for re-appointment, permanence, tenure and/or promotion, or a member of the same department, should not be present when that candidate's case is discussed and/or voted on (Appendix B, SPS B4), and a technical abstention shall be recorded for the member in such a situation. Such a technical abstention shall not cause the Committee to lose quorum.

A decision in the Senate Committee shall be by a majority of the voting members, except that technical abstentions shall not be counted in the vote. Non-technical abstentions, therefore, count as negative votes. In the event of an equality of votes on tenure, permanence, re-appointment and promotion recommendations, the question is deemed to be decided in favour of the Faculty Tenure and Promotion Committee's recommendation (see Senate By-law 117).

59. When, after its initial discussion, the Senate Committee does not agree with a recommendation it has received from a Faculty Committee, it shall refer the recommendation back to the Faculty Committee with a written statement of the grounds for its disagreement. The Faculty Committee shall have a period of 15 working days from the date of the referral to reconsider the case and it shall then forward in writing to the Senate Committee the result of its reconsideration.
60. a. The Senate Committee must, at an appropriate time, invite a candidate for an interview if:

- i. it intends to decide against a Faculty Committee's recommendation for tenure, permanence, and/or promotion of the candidate, or
- ii. it intends to decide that the candidate's appointment be allowed to lapse.

The candidate may be accompanied at the interview by a faculty colleague acting as an advisor. The Faculty Committee shall be notified at the same time as the candidate regarding the date of the interview of the candidate.

If he or she requests it, the candidate must be provided with a copy of the material considered by the Senate Committee, along with a copy of the Faculty Committee recommendation, prior to the interview. It shall be the responsibility of the Chair of the Senate Committee to ensure that the confidentiality of the material is maintained. To this end, only unattributed copies of the originals of any external or internal letters of reference shall be provided. Any other written assessments shall be similarly redacted to maintain confidentiality.

- b. The Senate Committee must, at an appropriate time, invite the Faculty Dean and elected colleague back to meet with them if there was initial agreement between the Senate and Faculty Committee that an appointment be allowed to lapse but, after interviewing the candidate, the Senate Committee intends to decide against the Faculty Committee's recommendation. If the Faculty Committee so chooses, it may submit written representations in place of the meeting with the Senate Committee.

61. After considering a recommendation it has received from a Faculty Committee (and any reconsideration called for under clause 59 and 60 above), the Senate Committee on Appointments shall decide:

- a. that the candidate is to be nominated for a tenured appointment and so inform the Senate, or
- b. that no action is to be taken in regard to tenure, or
- c. that the candidate is to be nominated for a permanent teaching position and so inform Senate, or
- d. that no action be taken in regard to permanence, or
- e. to recommend to the President that the period of an appointment be extended, and so inform the Senate and Board, or
- f. that a candidate's appointment be allowed to lapse, and so inform the Senate and Board, or
- g. that promotion is to be granted and so inform the Senate, or
- h. that no action is to be taken in regard to promotion.

In the cases of subsections (a) and (g) above, the Senate, upon receiving the decisions of the Senate Committee on Appointments, shall thereupon forward the decisions through the President to the Board of Governors as nominations for tenure, permanence, and/or promotion.

62. In those cases where the Senate Committee on Appointments decides that the candidate is to be nominated for a tenured or permanent appointment, or for promotion, the Chair of the Senate Committee on Appointments shall without further delay inform the candidate concerned, in writing, of the decision.

In the case where an appointment is to be extended (clause 61(e) above), the President shall inform the candidate in writing of the decision made on his or her status, normally not later than November 15 of the year in question, and in any event not later than December 15.

63. In those cases where the Senate Committee on Appointments decides that no action is to be taken in regard to tenure or permanence, or that an appointment be extended (in spite of a Faculty Committee recommendation that tenure or permanence be granted), or that the length of the extension of an appointment (as recommended by the Faculty Committee) be reduced, or that an appointment is to be allowed to lapse, or that no action is to be taken in regard to promotion, the Chair of the Senate Committee on Appointments shall without further delay inform the candidate concerned in writing, by registered mail at his or her home address, of the decision made, and shall at the same time provide reasons for the decision. The following conditions shall apply:
- a. If the decision represents an approval by the Senate Committee of a recommendation made by the Faculty Committee, the statement of reasons shall include the written statement prepared by the Faculty Committee (see clause 53 above), along with a statement indicating the authority of the Senate Committee on Appointments in these matters as established in the relevant sections of this policy.
 - b. If the decision by the Senate Committee is different from the recommendation made by the Faculty Committee, then the statement of reasons shall be prepared by the Senate Committee and shall refer to the authority of the Senate Committee in these matters as established in the relevant sections of this policy.
 - c. In both (a) and (b) above, the candidate must be provided with a copy of the material considered by the Senate Committee, along with a copy of the Faculty Committee recommendation and any related correspondence between the Senate Committee and the Faculty Committee. It shall be the responsibility of the Chair of the Senate Committee to ensure that the confidentiality of the material is maintained. To this end, only unattributed copies of the originals of any external or internal letters of reference shall be provided. Any other written assessments shall be similarly redacted to maintain confidentiality..

In those cases where an appointment is to be allowed to lapse, the Chair of the Senate Committee on Appointments shall also inform the candidate that the Committee's decision will be reported in due course to the Senate.

64. a. The letters referred to in clause 63 above that relate to tenure or permanence and tenure-track or teaching-track appointment decisions shall be mailed normally not later than November 15 of the year in question, and in any event not later than December 15. A candidate who has not been so informed in writing of the decision made by the Senate Committee on Appointments on his or her status by November 15 shall not be justified in assuming that a favourable recommendation has been made. A candidate who has not been so informed in writing of the decision made by the Senate Committee on Appointments on his or her status by December 15 of the academic year in which his or her appointment will otherwise end shall be entitled to a one-year contractually limited appointment beginning the day following the lapse of the faculty member's tenure-track or teaching-track appointment.
- b. The letters referred to in clause 63 above that relate to decisions on promotion normally will be mailed early in the new year.

65. The Board of Governors shall normally consider Senate nominations for tenure and permanence at its December meeting immediately following the Senate meeting at which they have been received. In any event, these nominations shall be dealt with not later than December 31 of the year in which they were considered by the Faculty Committee. As soon as the Board has agreed to grant tenure, permanence, and/or promotion, the President shall give formal notice in writing to each candidate to whom this has been granted.
66. Within 30 days of receiving the letter referred to in clause 62 above, or the written statement referred to in clause 63 above, a candidate who is entitled under the terms of the following section, Section IV, to appeal the decision made on his or her case may request such an appeal by writing to the Secretary of the Senate. This request will be reported at the next regular meeting of the Senate.

Upon receipt of such an appeal request, the Secretary of the Senate shall set in motion the appeal procedures described in Section IV below.

SECTION IV

APPEAL PROCEDURES (REGARDING TENURE, PERMANENCE, AND PROMOTION DECISIONS)

1. It matters as much to the University community as to a faculty member who considers that he or she has a grievance concerning a tenure, permanence, or promotion decision that an inquiry into the grievance should result in a just decision, based on an impartial and dispassionate review of the facts.
2.
 - a. The Senate shall establish an Appeal Tribunal as soon as possible after receipt of a written request from a faculty member who has been denied tenure, permanence, and/or promotion, if his or her case meets the conditions set out in (b), (c) or (d) below. Such a faculty member shall hereinafter be referred to as the appellant.
 - b. A faculty member shall be entitled to appeal a tenure or permanence decision only:
 - i. if his or her tenure-track or teaching-track appointment is to be allowed to lapse at the end of the current academic year; or
 - ii. in an academic year when her or his Departmental and/or Faculty Committee has recommended that tenure or permanence be granted.
 - c. An appeal of a decision not to grant promotion to Professor of a tenured faculty member or promotion to Associate Professor or Professor of a permanent teaching faculty member shall be permitted only if the candidate has spent at least six years in the current rank, except in the case when he or she has been recommended for promotion by his or her Departmental and/or Faculty Committee.
 - d. If an appeal of a decision not to grant promotion results in the decision being upheld, no further appeal will be entertained for three years following the initial one unless the Departmental and/or Faculty Committee recommends promotion in an intervening year.
3. Recommendations concerning membership of an Appeal Tribunal shall be made to Senate by the Tenure and Promotion Appeals Nominating Committee of Senate. The Tribunal shall be composed of three tenured/permanent teaching members of the University's full-time faculty who have not been previously involved in the decision under review and who are at "arm's length" from both the appellant and the members of the Determining Committee. The Tribunal in each case shall normally consist of one member from the appellant's Faculty and two members from outside of it. Both the appellant and the Chair of the Determining Committee (or the appropriate Faculty Dean when the Determining Committee is a Joint-Faculty Committee) shall be informed of the names under consideration by the Tenure and Promotion Appeals Nominating Committee of Senate, and shall express to them independently, in writing, any objections that they may have concerning any of the proposed members of the Appeal Tribunal. After careful consideration of any such objections, the Tenure and Promotion Appeals Nominating Committee of Senate shall forward its recommendations on the membership of the Tribunal to the Senate for approval.
4. The Appeal Tribunal shall choose one of its members to act as Chair and this person shall have the primary responsibility for the orderly conduct of the proceedings. The Secretary of the Senate shall be responsible for notifying all persons concerned of the time and place of the proceedings.

5. The proceedings of the Tribunal shall be conducted expeditiously and in strict fairness to the appellant and to the University, and shall be governed by the *Statutory Powers Procedure Act of Ontario* (see also Appendix B, SPS D1).
6.
 - a. The decision under appeal shall be that of the “Determining Committee.” The Determining Committee, for the purposes of this document, shall be the Committee that prepared the principal statement referred to in Section III, clauses 63(a) and (b). That is, if the decision of the Senate Committee on Appointments that is under appeal is the same as the recommendation made by the Faculty Committee, the Faculty Committee shall be the Determining Committee. If the decision of the Senate Committee on Appointments that is under appeal is different from the recommendation made by the Faculty Committee, the Senate Committee shall be the Determining Committee.
 - b. The Determining Committee shall be represented during the appeal by its Chair or a delegate chosen by the Committee from among the elected faculty members on the Committee. If the Committee so wishes, the Chair (or delegate) may be accompanied by another faculty member, chosen by and from the Committee for this purpose.

In the event that the Determining Committee is a Joint-Faculty Committee, the Faculty Dean concerned, or one of the elected faculty members from that Faculty on the Determining Committee, chosen by the members of the Determining Committee, shall represent the Determining Committee. If the Committee so wishes, the Dean (or delegate) may be accompanied by another faculty member, chosen by the Committee from among the faculty members from that Faculty on the Committee.

In the event that the appellant holds a joint appointment in two Departments in two Faculties, and in the event that two Faculty Committees represent the Determining Committees, the Deans of the Faculties concerned or one elected faculty member from each of the two Faculty Committees, chosen by the members of each of the two Faculty Committees, shall represent the Determining Committees. If either or both of the relevant Committees so wish, the Dean (or delegate) may be accompanied by another faculty member, chosen by and from the Committee.

If the decision of the Determining Committee(s) that is under appeal is the same as the recommendation(s) made by the Department(s), then the Chair(s) of the Determining Committee(s) or the delegate, as appropriate, may also be accompanied by another faculty member chosen by and from the Department Committee(s).

7.
 - a. The appellant may be represented at all hearings before the Appeal Tribunal by counsel or an agent, but shall be present at all hearings.
 - b. The Tribunal and the Determining Committee may wish also to engage counsel, but, in the event that they do so, only the Determining Committee should have access to the services of the University’s Solicitor.
8. Subject to the agreement of the appellant, a Faculty Association observer shall be permitted to be present at all hearings of Appeal Tribunal and to receive all the documentation available to the appellant. Such an observer shall be non-participating and subject to the “Guidelines Concerning the Role of Faculty Association Observers at Appeal Hearings” (Appendix B, SPS D2).

9. As its first task, the Tribunal shall meet with the appellant and the representatives of the Determining Committee and shall decide whether or not the hearings shall be held in camera, in accordance with the requirements of the *Statutory Powers Procedure Act* (see clause 5 above).
10. The Tribunal shall review the evidence, both written and oral, upon which the decision was based. The following rules shall apply:
 - a. When reviewing a case in which an appointment is being allowed to lapse, the Tribunal shall consider any new evidence.
 - b. When reviewing any other case, the Tribunal shall not consider any new achievements of the appellant subsequent to the date of the Determining Committee's decision, but shall consider any evidence that existed but was not presented to the Department, Faculty or Senate committees during their deliberations, and may obtain additional assessments respecting the appellant's work.
 - c. If the Tribunal decides that the cases of other faculty members are closely comparable to the case under appeal, it shall be entitled to examine such documents as it believes likely to be relevant and which were considered when a tenure, permanence, and/or promotion decision was taken in the cases of the other faculty members. The Tribunal's use of such documents shall be at the discretion of the Tribunal. Neither the appellant nor his or her counsel or agent shall have direct access to such documents, but, upon request, they shall be provided with unattributed copies of them. The Tribunal shall take adequate care to ensure that the privacy of third parties is protected.
11. Access to reports on and assessments of the appellant which formed the basis of the Determining Committee's decision shall be subject to the following regulations:
 - a. The appellant is entitled to have received a copy of all the material considered by the Senate Committee on Appointments, which would include a copy of the Faculty Committee recommendation (see Section III, clause 63 c) and copies of any related correspondence between the Senate Committee and the Faculty Committee. Only unattributed copies of the originals of any external or internal letters of reference shall have been provided and any other written assessments shall have been similarly redacted to maintain confidentiality. The Tribunal shall take adequate care to ensure that the privacy of third parties is protected.
12. The Tribunal shall decide, either unanimously or by a majority, either to uphold or overturn the decision of the Determining Committee. The Tribunal's decision shall be final and it shall report its decision to the parties involved in the appeal and to the Senate.
13. If the Tribunal's decision is that the appellant is to be granted tenure, permanence, and/or promotion, the Senate shall thereupon forward the decision through the President to the Board of Governors as a nomination for tenure, permanence, and/or promotion. Once the Board has acted upon the recommendation, the President shall inform the appellant in writing of the decision.
14. If the Tribunal, while bearing in mind the limitations on the length of such appointments as stipulated in Section II, clauses 7 and 14, recommends to the President that a further tenure-track or teaching-track appointment be granted, the President shall offer the candidate such an appointment.

15. If the Tribunal has any other recommendations or comments to make (for example, with respect to changes in policy or procedures), it shall make such recommendations or comments to the appropriate University body in a separate document.

SECTION V

SUSPENSION OF A FACULTY MEMBER

1. Suspension as a form of disciplinary action involves relieving a faculty member of all of his or her University duties and denying him or her access to University facilities and services for a stated period of time, with or without pay. Suspension does not refer to those other forms of disciplinary action that may involve relieving a faculty member of only some of his or her duties (for example, teaching or supervisory assignments or participation in a research project). Nor does it refer to periods of leave occasioned by special circumstances (for example, illness, incarceration, political service or secondment).
2. The President shall exercise his or her authority to suspend a faculty member when a tribunal, acting in accordance with an approved University policy, has made a finding of just cause and has decided and recommended to the President that a suspension is the appropriate form of disciplinary action against the faculty member concerned. The President shall decide upon the terms of the suspension (period of time and with or without pay) and shall be guided in this decision by any recommendations on these matters made by the tribunal; in no case shall the terms decided upon be more severe than those recommended by the tribunal.
3. Notwithstanding clause 2 above, in exceptional circumstances (for example, if a faculty member poses a real and present danger to the safety of any member of the University community, or a serious and immediate threat to the functioning of the University), and after consultation with the appropriate academic administrative officers, the President may suspend a faculty member pending the outcome of a hearing on charges of misconduct against the faculty member concerned. In such circumstances, where the President's action in suspending a faculty member is not preceded by a decision of a University tribunal, the suspension shall be with pay, and the Provost shall ensure that a hearing into the allegations of misconduct against the faculty member concerned, if not already underway, is commenced within 10 working days of the start of the suspension.
4. The President, in suspending a faculty member, shall advise the faculty member in writing of the terms of the suspension and the details of the cause for the action. This notice shall be sent to the faculty member's home address by registered mail. A copy of the letter shall be sent to members of the Faculty Appointments Committee.
5. A decision by a duly constituted tribunal and/or by the President to suspend a faculty member shall not be grievable under the Faculty General Grievance Procedure.
6. The above clauses in this Section shall constitute the University policy on the suspension of faculty members appointed under the terms of this policy and shall take precedence over any or all other statements on the subject.

SECTION VI PROCEDURES FOR REMOVAL

1. "Removal" means the termination by the University of the appointment of a faculty member on a tenured or permanent appointment without the consent of the appointee before his or her retirement, or the termination by the University of the appointment of a faculty member on a tenure-track or teaching-track appointment or contractually limited appointment before the end of its stated period without the consent of the appointee. It follows that the non-renewal of a contractually limited appointment or the decision not to grant tenure at the end of a tenure-track appointment, or permanence at the end of a teaching-track appointment, does not constitute removal. Further, the lapsing of an appointment by reason of the time limitations on contractually limited and tenure-track or teaching-track appointments, which are stipulated in Section II, clauses 7, 12(d) and 14, does not constitute removal.
2. Under the terms of *The McMaster University Act (1976)*, only the Board of Governors has the power to remove a faculty member, and the *Act* stipulates that the Board may exercise this power only after consulting the Senate. The Senate, through its Senate Committee on Appointments, shall exercise its authority under the *Act* to recommend the removal of a faculty member only when adequate cause has been established by the Hearing Committee according to the procedures described in this Section. The Senate and the Board of Governors and their committees shall be bound by the findings, in regard to the establishment of adequate cause, of the Hearing Committee referred to in clauses 9 and 10 below.
3.
 - a. In general terms, "adequate cause" for removal exists if it has been established that a faculty member has unreasonably neglected his or her academic responsibilities, or has been guilty of such unethical academic behaviour as to impair his or her usefulness as a member of the University. However, it is understood that the words "adequate cause" must necessarily be interpreted in the context of each removal case. The subsequent paragraphs of this Section specify a sequence of procedures to be followed that will assure that the question of what constitutes "adequate cause" for removal will have careful consideration in the circumstances of each removal case.
 - b. Physical or emotional inability to carry out reasonable duties shall not be a reason for removal.
 - c. For purposes of this document, "adequate cause" for removal shall not be construed as including the University's financial difficulties or lack of money to pay the faculty member's salary.
4. If the President intends to initiate action leading to the removal of a faculty member, he or she shall first notify the member in writing of this intention together with the reasons for such action, and invite the faculty member to a meeting to discuss the reasons and the intended action. This notice shall be sent to the faculty member's home address by registered mail.
5. Subject to the agreement of the faculty member against whom removal proceedings have been instituted, a Faculty Association observer shall be permitted to be present at any meetings between the two parties, including the meetings described in clauses 4 and 6 and at the hearing described in clauses 12 and 13, and to receive all the documentation available to the faculty member. Such an observer shall be non-participating and subject to the "Guidelines for Faculty Association Observers at Removal Proceedings" (Appendix B, SPS D3).

6. The meeting referred to in clause 4 above shall be held under the following conditions:
 - a. By mutual agreement, it shall take place on a date which will not be fewer than seven and not more than 21 days from the date of mailing of the President's letter (as indicated in clause 4); failing mutual agreement, on a date to be set by the President.
 - b. Those present, besides the President and the faculty member concerned, shall be:
 - i. one member of the academic administration, to be chosen by the President;
 - ii. the Chair or Acting Chair of the faculty member's Department;
 - iii. an advisor, counsel or an agent, chosen by the faculty member concerned, if he or she wishes such a person to be present;
 - iv. a disinterested Professor or Associate Professor with tenure or permanence, acceptable to the President and the faculty member concerned, if one can be found by the date set for the meeting.
 - c. If the faculty member fails to or declines to attend the meeting, the meeting shall nevertheless take place, and the President, after the meeting, may proceed as set out in clause 7 below.
7. If, after this meeting, the President still intends to proceed with the action, the President shall, within 14 days of the date of the meeting, so inform the member in writing, to the home address by registered mail, communicating at that time a precise description of the charges against the member in sufficient detail to enable the faculty member to prepare a defence.
8. After the meeting described in clauses 4 and 6 above, or at any subsequent stage in the proceedings, the President may, at his or her discretion, temporarily suspend the faculty member until the matter has been decided. Unless a tribunal has recommended otherwise, the suspension shall be with pay.
9. The faculty member shall have 14 days from the date of mailing of the President's letter mentioned in clause 7 above to decide whether to contest the action and to so inform the President. If the faculty member informs the President that he or she intends to contest the action, or if the faculty member informs the President that he or she does not intend to contest the action, but does not submit at the same time his or her resignation from the University, or if the faculty member fails to communicate with the President by the deadline specified herein, the President shall so inform the Senate and the Senate shall proceed immediately to establish a Hearing Committee.
10. Recommendations concerning the membership of the Hearing Committee shall be made to Senate by the Tenure and Promotion Appeals Nominating Committee of Senate. The Hearing Committee shall be composed of three tenured, or permanent, full-time Professors of the University who are at "arm's length" from the faculty member concerned, from the President and from any other administrator who may be involved. The Hearing Committee shall normally consist of one Professor from the faculty member's Faculty and two from outside of it. Both the faculty member and the President shall be informed of the names under consideration by the Nominating Committee and shall express to it independently, in writing, any objections they may have concerning any of the proposed members of the Hearing Committee. The Nominating Committee shall consider carefully any such objections before forwarding its recommendations on the membership of the Hearing Committee to the Senate for approval.

11. In Senate's approval of the Hearing Committee membership and in all subsequent deliberations of the Senate Committee on Appointments and of the Board (or its designated committee) having to do with the case for removal that is under consideration, the President shall not participate in the discussion nor cast a vote.
12. The Hearing Committee, once chosen, shall begin its proceedings as soon as possible. The Hearing Committee may engage counsel but shall not engage the University's Solicitor for this purpose.
13. The proceedings of the Hearing Committee shall be conducted expeditiously and in strict fairness to the University and the faculty member concerned. As its first task, the Hearing Committee shall meet with the faculty member concerned and a representative of the President to decide whether or not the proceedings shall be held in camera, as permitted by the *Statutory Powers Procedure Act*. If both parties agree, the proceedings shall be held in camera throughout.

The following procedures shall also be observed:

- a. The members of the Hearing Committee shall select one of their number to act as Chair. The Chair shall have primary responsibility for the orderly conduct of the proceedings.
- b. The University shall be represented during the proceedings by the President or a faculty member chosen by the President as his or her representative.
- c. The Secretary of the Senate shall serve as Secretary and shall be responsible for notifying all persons concerned of the time and place of the proceedings.
- d. The charges against the faculty member shall be restricted in substance to those recorded in the President's letter mentioned in clause 7.
- e. The onus shall be on the University to demonstrate that adequate cause exists for removal of the faculty member.
- f. Although it is possible that at the meeting referred to at the beginning of this clause there was no agreement to conduct all of the review in camera, this shall not preclude the opportunity for the Hearing Committee to conduct a particular session or sessions in camera, if, in its opinion, the interests of any person indicate the desirability of such a procedure. The Committee shall not make such a decision, however, until it has consulted with the faculty member concerned and the representative of the President.
- g. No formal transcript of the proceedings of the Hearing Committee shall be kept; however, the Committee shall have the authority to require that a logged audio recording of all or part of the proceedings be kept. All parties concerned shall have access to the audio recording.

The Hearing Committee has final authority on its own procedures within the limits of Section VI.

14. After the conclusion of the hearing(s), the Hearing Committee shall review and adjudicate the evidence and shall decide, either unanimously or by a majority of the Committee, whether or not adequate cause for removal has been established.

The Hearing Committee shall prepare a written report of its findings of fact, its judgement on the adequacy of the cause, its decision and the justification for that decision.

15. If the Committee decides that adequate cause for removal has been established, it shall so inform the faculty member, the President and the Senate Committee on Appointments. The Senate Committee shall forward the decision to the Board (or its designated committee) as a recommendation that the faculty member be removed. When such a recommendation has been received by the Board (or its designated committee), it shall immediately act upon it as follows:
 - a. The Board (or its designated committee) shall invite the faculty member and/or his or her advisor to appear before it to make representations having to do with process of the earlier hearing(s). The substantive findings of the Hearing Committee in regard to the establishment of adequate cause shall not be subject to review in any such meeting between the Board (or its designated committee) and the faculty member and/or advisor.
 - b. If, as a result of the meeting described in subsection (a) above, the Board (or its designated committee) decides that there have been procedural error(s) in the earlier stage(s) of the case, it shall refer the matter back to the Senate Committee on Appointments for advice and comment.
 - c. On the basis of the Hearing Committee's report, the representations, if any, made by the faculty member under subsection (a) above, and any advice received from the Senate Committee on Appointments under subsection (b) above, the Board (or its designated committee) shall decide:
 - i. to remove the faculty member from the teaching staff of the University, or
 - ii. to refer the recommendation back to the Senate Committee on Appointments on procedural grounds.

The decision of the Board (or its designated committee) shall be conveyed in writing to the faculty member concerned as soon as possible, by registered mail to the home address, by the Chair of the Board of Governors. The President and the Chair of the Senate Committee on Appointments also shall be informed immediately of the decision.

A short written summary of the case and the decision, including the findings of the Hearing Committee, shall be prepared by the Secretary of the Board and forwarded to the Senate and the Board of Governors. The summary shall be available for public release if necessary.

16. If the decision under clause 14 above is that adequate cause for removal has not been established, then the Hearing Committee shall decide, either unanimously or by a majority, whether or not the continuation of the faculty member's appointment shall be subject to any stated terms and conditions. If the Committee decides that the continuation of the appointment shall be so restricted, but is unable to reach a majority decision on the question of what should be the terms and conditions, then the following procedure shall be followed: Two members of the Hearing Committee, neither of whom is the Chair, shall each submit in writing to the Chair of the Committee the terms and conditions he or she believes are appropriate. The Chair shall select one of these two proposals as the Committee's decision. If the Hearing Committee decides that some such terms and conditions shall apply, then the following actions shall be taken:
 - a. If the terms and conditions include some form of suspension, the Hearing Committee shall so inform the faculty member, and shall forward the corresponding recommendation to the President for action.

- b. If the terms and conditions are of some other form, then they shall be conveyed in writing to the President and to the faculty member concerned, by registered mail to the member's home address. The appropriate University officers also shall be so informed by the Hearing Committee, and shall ensure that the terms and conditions are met.
17. If the Hearing Committee's decision under clauses 14 and 16 above is that adequate cause for removal has not been established and that no sanctions need be imposed, then it shall so report to the President, the faculty member concerned, the relevant Faculty Appointments Committee, and to the Senate, through the Senate Committee on Appointments, and the Chair of the Board. The matter of removal then shall be dropped.
18. If the Hearing Committee has any other recommendations or comments to make (for example, with respect to changes in policy or procedures), it shall make such recommendations or comments to the appropriate University body in a separate document.
19. If the Hearing Committee decides that adequate cause for removal has not been established during the proceedings and that the continuation of the faculty member's appointment shall not be subject to any terms and conditions (see clause 17 above), the reasonable legal expenses incurred by the faculty member shall be borne by the University. If the Hearing Committee decides that some such terms and conditions shall apply to the continuation of the faculty member's appointment, the Hearing Committee shall decide whether the reasonable legal expenses incurred by the faculty member shall be borne by the faculty member, or whether some or all of such expenses shall be borne by the University.
20. A decision of the Hearing Committee shall not be grievable under the Faculty General Grievance Procedure.

SECTION VII

TERMINATION OF A TEACHING-TRACK OR PERMANENT TEACHING FACULTY POSITION

1. Teaching-track and permanent teaching appointments may be terminated without fault or cause by reason of curricular change or removal of an area or field (including a change in a contractual arrangement with another educational institution) as determined in an academic plan that has been recommended by the University Planning Committee and approved by the Senate. Such termination will take place only if the Provost determines that the University cannot offer equivalent alternative employment. In making a determination about alternative employment, the Provost will chair a committee of three faculty members, including the Provost, with the other two members chosen in consultation with the Faculty Association.
2. Normally a curricular change that does not involve removal of an area or field would not require approval from the University Planning Committee and Senate, but only from Undergraduate (or Graduate) Council. However, if such a curricular change entails the elimination of a teaching-stream position, it would, under this procedure, necessarily be sent for approval to the University Planning Committee and Senate, so that those bodies would be aware of the particular implication of the change. This procedure means that a Chair or Dean cannot unilaterally and quickly decide to terminate such a position.
3. Notice of termination of a teaching-track or permanent teaching-only appointment by reason of curricular change or removal of an area or field must be given at the time that the curricular change or removal of an area or field starts to move through the approvals process, and, in any event, at least six and a half months before the termination of the appointment.
4. The academic merits of, or financial savings from, a curricular change or removal of an area or field that leads to termination of a teaching appointment cannot be the subject of a grievance.

SECTION VIII

IMPLEMENTATION, PROMULGATION AND REVISION

1. When the document “McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion (2012)” is adopted, the University shall provide a copy of it (electronic or hard copy) to all persons who are full-time members of the teaching staff and to all full-time members of the teaching staff who are subsequently appointed.
2. The “McMaster University Revised Policy and Regulations With Respect to Academic Appointment, Tenure and Promotion (2007)” are hereby repealed, except as provided for in clause 3. a-h below.
3. The substantive changes between the 1998 document and the 2007 document pertained only to the creation of the teaching-stream positions and to contractually limited appointments, hence those are the only positions for which transition procedures were needed, as follows. These transition procedures are in effect until June 30, 2013. In this clause, a distinction is drawn between an existing position and the incumbent holding that position, where both refer to the situation at the time the 2007 document was adopted.
 - a. Conversion of an existing contractually limited position to a teaching-track position or a tenure-track position is at the discretion of each Faculty Dean.
 - b. Normally, if a contractually limited position is converted to a tenure-track position, there must be an open search. The holder of the current contractually limited appointment may apply, but is not guaranteed the position. However, in exceptional circumstances, a Faculty Dean may consider it appropriate to recommend that the appointment be converted without initiation of a new fully-advertised search. The protocol for such a conversion is set out in Appendix B, SPS A2
 - c. If a contractually limited position is converted to a teaching-track position, the position may be offered to the incumbent without an open search. If the incumbent has held that contractually limited position for more than six years, the incumbent must be offered the position.
 - d. If the holder of an existing contractually limited appointment is offered a teaching-track position, she or he is not obligated to accept it. If the position is declined, for example because the incumbent does not wish to undergo the assessment for permanence that is entailed by the position, the contractually limited position can be renewed for, at most, six more years beyond the end of the academic year in which the offer is made.
 - e. If the holder of an existing contractually limited appointment accepts the offer of a teaching-track position, the faculty member and the Faculty Dean should agree on the amount of time to be credited toward the five-year normal time for consideration for permanence. This amount should be specified in the letter of appointment, and also applies toward the six-year limit for such consideration.
 - f. It is also possible for a contractually limited position to be converted to a special appointment, if the funding conditions for a special appointment are met. In this case also, the amount of time to be credited toward consideration for a continuing appointment without annual review should be specified in the letter of appointment.

- g. If a contractually limited position is not converted to a teaching-track or special position, the individual holding the position may be offered, at most, six more years as a contractually limited appointment beyond the end of the academic year 2006-2007.
 - h. The number and style of reports to Senate were also changed (Section II, clauses 18 and 19). The cumulative nature of the report called for there will be implemented incrementally beginning July 1, 2007.
4. Proposals for amending this document may be made by the administration, the Senate, or the Faculty Association. When such proposals are made, there shall be consultation among these parties.
- a) If the Senate Committee on Appointments and the MUFA Executive agree that the revisions are minor and reach agreement on the revisions, the amendments will be presented to Senate by the Senate Committee on Appointments.
 - b) Otherwise, an ad hoc drafting committee shall be established. The drafting committee, which shall consist of members named by the Senate Committee on Appointments and by the Faculty Association Executive, shall review the proposed amendments and formulate revisions for submission to the Senate and the Board of Governors for approval. During the course of its work, the drafting committee shall ensure that the parties mentioned in the first sentence of this clause are kept fully informed of any proposed revisions, and that their views on any such changes are properly considered.

Approved by Senate - December 14, 2011
Approved by Board of Governors - December 15, 2011
For implementation on January 1, 2012

APPENDIX A

PERTAINING TO THE FACULTY OF HEALTH SCIENCES

The Faculty of Health Sciences is governed by the policy and procedures related to academic appointment, tenure, permanence, and promotion that are described in the main body of this document. The Faculty, however, is different in two important respects:

- Most of the operating funds for the Faculty come from sources that are different from those upon which the University depends and, therefore, a significant number of its faculty members are appointed in the special-stream appointment category (see Section II, clauses 4, 4(c) and (d)), and
- In many of the appointments, whether for contractually limited periods, tenure-track, or special, there is a requirement that clinical work be performed or that major administrative responsibilities in the health care delivery system be discharged. Effective performance of these requirements and responsibilities (as defined in the Clinical Activities Portfolio, SPS B3) will be reviewed when such an appointee is being considered for CAWAR, tenure, and/or promotion. In those appointments where such special conditions apply, they shall be clearly stated in the letter of appointment.

Accordingly, the policy and regulations for the Faculty of Health Sciences include the following amendments or exceptions to the text of the preceding main document.

1. Section II, clause 12(d), is amended by the addition of:

- d. Contractually limited appointments that involve major clinical and/or administrative responsibilities in the health care delivery system may be renewed beyond six years; all such extensions shall be approved by the Faculty Appointments Committee and reported to the Senate Committee on Appointments.

2. Section III. The requirements for tenure and promotion in Health Sciences are interpreted as follows.

A necessary but not sufficient condition for the awarding of tenure and/or promotion in the Faculty of Health Sciences is effective participation in, and contribution to, the education Program(s) of the Faculty and the candidate's teaching ability shall be assessed in the appropriate context(s). In the majority of cases, it shall be expected also, as is spelled out in the main body of this document, that the candidate has demonstrated a commitment to high-quality scholarship and is making the results of this work available in the public domain for peer review. There will be many cases where scholarship will be judged by effective performance of academically oriented clinical activities. These scholarly activities will serve as the second major criterion for the awarding of CAWAR, tenure and/or promotion. These cases shall be identified clearly in the submissions to the various committees through their designation as Clinician Educators. For information on the letters of reference required for candidates in the Clinician Educator category, please see Section III, clause 16 of this document, as well as SPS B9.

3. Section III, clause 39(d): The first sentence of this clause is amended to read as follows:

The Departmental Committee shall inform itself on the teaching abilities, scholarly achievements (including, as appropriate, those related to clinical and administrative activities), and University responsibilities of any candidate under consideration for re-appointment, tenure, CAWAR, and/or promotion.

APPENDIX B SUPPLEMENTARY POLICY STATEMENTS

DEFINITIONS

In the context of these supplementary policy statements, the following definitions apply:

- a. **“Provost”** means the officer who is the Provost and Vice-President (Academic). **“Dean of Graduate Studies”** means the officer who is the Associate Vice-President and Dean of Graduate Studies.
- b. **“Faculty Appointments Committee”** means the committee comprising the Faculty Dean as Chair, the Provost, the Dean of Graduate Studies and the Department Chair as referred to in Section II, clause 16(d).
- c. **“Department”** means a formally recognized academic Department, School, Area or section of a Department, where appropriate.
- d. **“Program”** means a Senate-approved, interdisciplinary course of study at the undergraduate or graduate level which is not the sole administrative and academic responsibility of any one Department.
- e. **“Tenure-stream”** refers to those faculty with tenure-track or tenured appointments – see Tenure and Promotion Policy, Section II, 4a and 4b.
- f. **“Special-stream”** refers to those faculty with Special Appointments or Continuing Appointments without Annual Review – see Tenure and Promotion Policy, Section II, 4c and 4d.
- g. **“Teaching-stream”** refers to those faculty with teaching-track or permanent appointments – see Tenure and Promotion Policy, Section II, 4e and 4f.
- h. **“Contractually-limited”** refers to those faculty hired for a specific time period – see Tenure and Promotion Policy, Section II, 4g

Unless otherwise specified, any reference to tenure-stream appointments in an SPS should be taken also to mean special-stream appointments.

Unless otherwise specified, any reference in this Appendix to tenure-stream appointments shall also be taken to mean teaching-stream appointments. [Tenure and Promotion Policy Section II, clause 4e]

A APPOINTMENTS [A1 – A11]

1. Recruitment and Selection of Faculty Members
2. Conversion of an Individual Faculty Appointment
3. Procedures for Other Appointments (except in Health Sciences)
4. Procedures for Other Appointments within the Faculty of Health Sciences
5. Policy on Joint Appointments and Associate Membership
6. Academic Appointment and Assessment of Relatives
7. Spousal Hiring
8. Principles Governing Contractually Limited Appointments
9. Allocation of Teaching-Stream Positions Across Faculties
10. Procedures for Termination of Special or CAWAR Appointments when External Salary Support is Discontinued
11. Policy on Supervision of Graduate Work by Faculty with Other Appointments as defined in SPS 3 and SPS 4

B ACADEMIC ASSESSMENT/CAREER PROGRESSION [B1 – B12]

1. Procedures for the Assessment of Teaching
2. Teaching Portfolios
3. Clinical Activities Portfolio
4. Academic Collaborators in Appointment, Tenure, Permanence and/or Promotion Proceedings
5. Procedures for Selection of and Communication with External and Internal Referees (except those for Clinician Educators)
6. Procedures for Selection of and Communication with External and Internal Referees for Clinician Educators
7. Policy for Referees – Tenure-Stream Faculty
8. Policy for Referees - Teaching Stream Faculty
9. Policy for Referees – Clinician Educator Faculty
10. Material Required by Senate Committee on Appointments on Recommendations re Tenure, Permanence and/or Promotion
11. Curriculum Vitae Requirements
12. Preparation of Dossiers for Tenure/Permanence/CAWAR and/or Promotion

C LEAVES AND REDUCED WORKLOAD [C1 – C6]

1. Research Leave Policy – Tenured and CAWAR Faculty
2. Research Leave Policy – Permanent Faculty
3. Unpaid Leaves of Absence
4. Pregnancy and Parental Leave Policy for Faculty and MUFA Librarians
5. Appendix C, Tenure and Promotion Policy, Reduced Workload Provisions While on a Tenure-Track or Teaching-Track Appointment
6. SPS 23 Faculty Reduced Workload Policy for Tenured Faculty

D APPEAL AND REMOVAL PROCEDURES [D1 – D3]

1. Procedures for Faculty Appeal Tribunals
2. Faculty Association Observers at Appeal Tribunal Hearings

3. Faculty Association Observers at Removal Proceedings

E RIGHTS [E1]

1. Statement on Academic Freedom

APPENDIX C

REDUCED WORKLOAD PROVISIONS WHILE ON A TENURE-TRACK OR TEACHING-TRACK APPOINTMENT

(see Appendix B, SPS C6 (SPS 23) for provisions governing Reduced Workload for Tenured Faculty)

1. A faculty member may, during the period of mutual appraisal, apply for a future reduced workload. Such reduced workload may be requested in order to accommodate family responsibilities, re-direction of research, or other circumstances.
2. In this context, normal workload includes teaching, research and University responsibilities. In some cases, however, the faculty member's letter of appointment may specify the normal workload to include a different set of activities.
3. A workload may be reduced up to a maximum of 50 per cent of normal workload. The reduction must be proportionate in each area of activity.
4. Reduced workload cannot be arranged for less than six months, must normally begin on January 1 or July 1, and may not cumulatively amount to more than 36 months (in the case of an Assistant Professor) or 24 months (in the case of an Associate Professor or a Professor).
5. Reduced workload entails a proportionate reduction and adjustment in remuneration.
6. When applying for a reduced workload, the faculty member shall submit a proposal in writing to the Department Chair, normally at least three months ahead of time. The written application for reduced workload should specify the amount of reduction requested (e.g., 25 per cent of total obligations), the duration of the reduced workload (e.g., for one year) and the details of its implementation (e.g., by dropping two half-courses, cutting back on research, and limiting other responsibilities to one specified committee membership). The arrangement negotiated between the faculty member and the Department Chair must have the endorsement of the Faculty Appointments Committee. Such endorsement is not automatic.
7. When such a reduced workload arrangement has been approved by the Faculty Appointments Committee, the Faculty Dean shall convey the Committee's decision in writing to the faculty member, with copies to the President and to the other members of the Committee. The Dean's letter shall specify the terms of the reduced workload arrangement, including
 - a. matters of salary and benefits,
 - b. how the reduced workload period will be counted toward the time limits specified in Section II, clause 6 of the main policy, and
 - c. the timing of the academic assessments spelled out in Section III, clauses 8(a), 30 and 31 of the main policy, including when the individual must be reviewed for tenure.
8. Depending on the length of the reduced workload, tenure shall be conferred or the tenure-track appointment shall lapse:
 - for an Assistant Professor, at the end of six, seven, or eight years from the date of the person's first tenure-track appointment.
 - for an Associate Professor, at the end of four, five, six, seven or eight years from the date of the person's first tenure-track appointment.
 - for a Professor, at the end of three, four or five years from the date of the person's first tenure-track appointment.