

Complete Policy Title:  
**Preparation of Dossiers for Re-Appointment, Tenure/Permanence and/or Promotion**

Policy Number (if applicable):  
**SPS B12**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**May 24, 1995**

Supersedes/Amends Policy dated:  
**April 8, 2009 (SPS 15B)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

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It is the Department Chair's responsibility to inform faculty on tenure-stream, and teaching-stream appointments of the performance normally expected of successful candidates for tenure, permanence and promotion. The Chair must ensure that a dossier, for consideration by Departmental,<sup>1</sup> Faculty and Senate committees, is prepared properly and in a timely fashion (see McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion, [Tenure and Promotion Policy] Section II, clauses 7 and 14; Section III, clauses 28 to 35, clause 43[a] and clause 63).

It is the faculty member's own responsibility to prepare and keep the curriculum vitae up-to-date (see SPS B11) and it is the responsibility of the Department Chair to ensure that it is accurate for cases of re-appointment, tenure, permanence, and promotion.

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<sup>1</sup> For a faculty member holding joint appointment in two or more departments, or a person participating in a Program administered by a Program Director, clause 39 (a) Section III of the, Tenure and Promotion Policy should be consulted for instruction on apportionment of responsibility for carrying out the academic assessment.

## Dossier: Contents

Because Faculty Tenure and Promotion Committees consider cases across all departments in the Faculty, and the Senate Committee on Appointments across all Faculties, standardization of the sections of each dossier is extremely useful to the Committee.

Faculty and Senate Committees must act equitably. One way the Committees ensure this is by considering the same categories of information about each candidate. Having identical sections in each dossier is the mechanism that achieves this end. Each Faculty Committee can demonstrate that it sought the same categories of information, and it can request an explanation from a department if the department chooses not to enter information in a category.

- (a) The first page of every dossier should consist of a "table of contents" (see sample below). The table needs to enumerate the material in the dossier. Each item represents a "section" of the dossier. The dossier should have 8 sections following the 'table of contents'. There should be one paper-based copy of each file provided to the Senate Committee on Appointments.

**TENURE, PERMANENCE AND/OR PROMOTION DOSSIER: Dr. E. Z. Rider**  
**Table of Contents**

1. Written Recommendation of the Departmental Tenure and Promotion Committee  
- based on an examination of the following elements of the dossier:
2. Curriculum Vitae
3. Candidate's Statement
4. Departmental Teaching Evaluation Report
5. Candidate's Response to Departmental Teaching Evaluation Report
6. List and Biographical Sketch of Potential Referees
7. Referee Letters
8. Sample Copy of Chair's or Dean's Letter Sent to Referees, and the  
Relevant Policy for Referees

I indicate by my signature that this index describes precisely the contents of the dossier of Dr. E. Z. Rider, and that this dossier is complete and ready for consideration by the appropriate committees.

\_\_\_\_\_  
Department Chair (signature)

\_\_\_\_\_  
Date

- (b) By signing the Table of Contents, the Department Chair acknowledges that all the material required for assessment of the case has been included for the evaluating committees. The "table of contents" page, with signature added, therefore also constitutes a "checklist" of material in the dossier.

## **1. Written Recommendation of the Departmental Tenure and Promotion Committee**

This section contains the recommendation of the Departmental Tenure and Promotion Committee. It is written by the Chair of the Committee, who is normally the Department Chair.

The reasons for the recommendation are articulated in this section, and must cover (as appropriate) undergraduate and graduate teaching, research and university/community/professional service (see Tenure and Promotion Policy, Section III). Health Sciences departments may include among their reasons; evidence of effective performance in academically oriented clinical activities and/or special administrative duties in the health care delivery system as the second major criterion (other than teaching) for the awarding of tenure and/or promotion (Appendix A, clause 2 of Tenure and Promotion Policy)

## **2. Curriculum Vitae**

Standard McMaster Curriculum Vitae, as detailed in SPS B11.

## **3. Candidate's Statement on Research and/or Clinical Activities**

- a) Tenure-Stream and Special-Stream: The candidate should provide a statement, approximately two pages long, about his/her research and/or Clinical Activities. This is the same statement that is sent to Referees (see SPS B5 and SPS B6).
- b) Teaching-Stream: In the case of promotion assessments, the candidate should provide a statement, approximately two pages long, about his/her pedagogical research/scholarship. This is the same statement that is sent to Referees (see SPS B5).

#### **4. Departmental Teaching Evaluation Report**

This report, prepared by the Department Chair or delegate, would include elements of SPS B1, SPS B2 or SPS B3 and may include other material that the Department considers relevant to the assessment of teaching.

#### **5. Candidate's Response to Departmental Teaching Evaluation Report**

This is the response submitted by the candidate for placement in the dossier after he or she has seen the Departmental Teaching Evaluation Report.

#### **6. List and Biographical Sketch of Potential Referees**

- (a) This is the list of possible referees from among whom the actual referees were chosen, in accordance with SPS B5 or SPS B6.
- (b) A paragraph following each name should provide the brief biographical sketch that justifies the Senate requirement that the potential referees be known for their work in fields relevant for the candidate (Section III, clause 14, Tenure and Promotion Policy).

The information that should be provided in a biographical sketch of referees is set out below.

- (i) name;
- (ii) rank and position;
- (iii) institution or company and current address, telephone and fax numbers, and electronic mail address;
- (iv) degree(s) held including the granting institution(s) and the date(s) earned, if readily available;
- (v) areas of specialization;
- (vi) professional activities in the field such as editor of a journal, member of granting agency etc.;
- (vii) evidence of recent/major scholarly activity;
- (viii) details of any previous affiliation with the University and the candidate.

#### **7. Referee Letters**

All letters received from referees who were solicited in accordance with SPS B5 or SPS B6 must be included in the dossier (Section III, clause 16, Tenure and Promotion Policy).

- (a) For tenure and/or promotion of tenure-stream faculty (excluding Clinician Educators), the dossier must include letters from at least three referees external to the University (Section III, clause 16).
- (b) For tenure/CAWAR of tenure or special-stream faculty identified as Clinician Educators, the dossier must include letters from at least three referees who may be internal to the University (SPS B6)
- (c) For promotion of Clinician Educator faculty to Professor, the dossier must include letters from at least three referees external to the University (SPS B6)
- (d) For promotion of teaching-stream faculty to Associate Professor, the dossier must include letters from at least two referees and at least one of these must be external to the University (Section III, clause 26).
- (e) For promotion of teaching-stream faculty to Professor, the dossier must include letters from at least three referees external to the University (Section III, clause 27).

In addition to the referees stipulated above, other letters may be obtained from referees internal to the university (Section III, clause 15). All such letters must be solicited in accordance with SPS B5 or B6. Information about these internal referees should be included in Section 7.

#### **8. Sample Copy of the Chair's or Dean's Letter Sent to Referees, and the Policy for Referees**

A copy of the Chair's letter and the relevant Policy for Referees (SPS B7, SPS B8 or SPS B9) is placed in the dossier.