



Tenure, Promotion & Performance Review: Committee Procedures

The following Questions and Answers document is intended to provide procedural guidance and clarification regarding functional aspects of the Tenure, Promotion, and Performance Review Process which are not addressed in the Collective Agreement between the University and the UGFA. All individuals involved with the administration of the Tenure, Promotion and Performance Review process are also encouraged to refer to the specific language of the Collective Agreement.

If after referring to the following Q&A, you are still unclear, please feel free to contact the Office of Faculty and Academic Staff Relations (Tracey Jandrisits, Assistant Vice-President at t.jandrisits@exec.uoguelph.ca ; Daniel Draper, Manager d.draper@exec.uoguelph.ca) and we will be happy to assist.

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ELECTORIAL PROCEDURES

*** Note: Members = Members of UGFA**

1. Election of the College Member of the Department Committees

Who is eligible to nominate and vote?

All faculty Members in the College holding tenured, Tenure-track or full time contractually limited appointments of more than 12 months.

Who is eligible to be nominated?

Any tenured Member of the faculty of the College except the Dean, any Chair, or any person who has served two consecutive terms throughout the previous four years. No person may serve concurrently as a College representative or alternate on the University Tenure and Promotion Appeals Committee and as a College Member.

What is the nomination process?

Nominations must be signed by a proposer and a seconder from within the College, and by the nominee, and be submitted to the Dean's office on or before the deadline indicated in the Schedule of Dates.

Who is responsible for the nomination and elections process?

The election will be supervised by the Assistant Vice President, Faculty and Academic Staff Relations who with the Dean, or his/her designate, will be enumerators and will inform the College of the results.

What is the length of term of the College Member of the Department Committees?

The College Member will be elected for a two-year term. He/she will be eligible to serve two consecutive terms, and then must take an absence of one term before being eligible for reelection as the College Member of the Department Committees.

What happens if the College Member needs to be replaced during his/her term?

If through illness or any other reason it appears that the College Member will be unable to attend the meetings of the Department and College Committees, then the member will be replaced by the unsuccessful faculty member who had been nominated but had received the next largest number of votes.

2. Election of the Department Member of the College Committee

Who is eligible to nominate and vote?

All faculty in the College holding tenured, tenure-track or full time contractually limited appointments of more than 12 months, each of whom votes for one member of the Committee from within his/her own Department.

Who is eligible to be nominated?

Every tenured Member of the faculty of the Department, except those who are already members of the Department Committee and those who have served two consecutive terms throughout the previous four years. No person may serve concurrently as a College representative or alternate on the University Tenure and Promotion Appeals Committee and as a Department Member on the College Member.

What is the nomination process?

Nominations must be signed by a proposer and a seconder from within the Department, and by the nominee, and be submitted to the Chair's office on or before the deadline indicated in the Schedule of Dates.

Who is responsible for the nomination and elections process?

The election will be conducted by the Chair or his/her designate and the most recently appointed Assistant Professor within the Department, who will also both be enumerators and will inform the Department of the results.

What is the length of term of the Department Member of the College Committee?

The Department Member of the College Committee will be elected for a two-year term. He/she will be eligible to serve two consecutive terms, and then must take an absence of one term before being eligible for reelection as the Department Member of the College Committee.

What happens if the Department Member of the College Committee needs to be replaced during his/her term?

If through illness or any other reason it appears that the Department Member of the College Committee will be unable to attend the meetings of the College Committee, then the member will be replaced by the unsuccessful faculty member who had been nominated but had received the next largest number of votes.

3. Election of the Department Committee Members

Who is eligible to nominate and vote?

All faculty in the Department holding tenured, tenure-track or full time contractually limited appointments of more than 12 months.

Who is eligible to be nominated?

Every tenured Member of the faculty of the Department except for the following:

- a) Those who are already members of the Committee;
- b) Those who will be unavailable for the meetings of the Committee;
- c) The Department Member of the College Committee;
- d) Those who have served two consecutive terms over the past four years;
- e) The College Representative and Alternate on the University Tenure and Promotion Appeals Committee.

What is the nomination process?

Nominations must be signed by a proposer and a seconder from within the Department, and by the nominee, and be submitted to the Chair's office on or before the deadline indicated in the Schedule of Dates.

Who is responsible for the nomination and elections process?

The election will be conducted by the Chair or his/her designate and the most recently appointed Assistant Professor available within the Department, and who will also both serve as the enumerators and who will inform the Department of the results. The election will be organized so that half the Department Members will be elected each year.

What is the length of term of the Department Members?

The Department Members will be elected for a two-year term. He/she will be eligible to serve two consecutive terms, and then must take an absence of one term before being eligible for reelection as a Member of the Department Committee.

What happens if the Department Member needs to be replaced during his/her term?

If through illness or any other reason it appears that the Department Member of the College Committee will be unable to attend the meetings of the College Committee, then the member will be replaced by the unsuccessful faculty member who had been nominated but had received the next largest number of votes.

4. Election of the College Representative and Alternates of the University Tenure and Promotion Appeals Committees

Who is eligible to nominate and vote?

All faculty in the College holding tenured, tenure-track or full time contractually limited appointments of more than 12 months.

Who is eligible to be nominated?

Any tenured Member of the faculty of the College except the Dean, any Chair, or any person who has served two consecutive terms throughout the previous four years. No person may serve concurrently as a member of the Department or College Tenure and Promotion Committees.

What is the nomination process?

Nominations must be signed by a proposer and a seconder from within the College, and by the nominee, and be submitted to the Dean's office on or before the deadline indicated in the Schedule of Dates.

Who is responsible for the nomination and elections process?

The election will be supervised by the Director Faculty and Academic Staff Relations who with the Dean, or his/her designate, will be enumerators and will inform the College of the results.

What is the length of term of the College Representative and Alternate of the University Tenure and Promotion Appeals Committee?

The College Representative and Alternate will be elected for a two-year term. He/she will be eligible to serve two consecutive terms, and then must take an absence of one term before being eligible for reelection to the University Tenure and Promotion Appeals Committee.

What happens if the College Representative or Alternate needs to be replaced during his/her term?

If through illness or any other reason it appears that the College Member or Alternate will be unable to attend the meetings of the University Tenure and Promotion Appeals Committee, then the member will be replaced by the un-elected faculty member with the largest number of votes in the College.

PREFERENTIAL VOTING METHOD

The preferential voting method, as approved by Senate, is used to tabulate votes for the election for faculty to each committee relative to the Tenure, Promotion and Performance Review process. Please refer to: [Preferential Voting Method for Senate-related Elections](#). Voting will be by secret ballot where the voter is asked to indicate the rankings of the candidates of his/her choice. In the case of a tie, the Provost and Vice President (Academic) will have the casting vote.

MODE OF OPERATIONS: Department and College Committees

What is quorum for the Department and College Committees?

Quorum is three quarters of the Committee.

Can a member withdraw from consideration of a particular case?

A member of the Committee may withdraw (recuse him/herself) prior to consideration of a particular case; however, no member present for the consideration of a case who is eligible to vote will abstain from voting. Recusals will be recorded explicitly, with their effective date, and may not be rescinded.

When does a recusal occur?

A Member will be expected to recuse him/herself from consideration of a case where a conflict of interest appears or is perceived to exist. Refer to Article 8 of the Collective Agreement for more detailed information regarding Conflict of Interest.

What is the process if a Member is undecided as to whether she/he should recuse him/herself? or if the Chair (or Dean) has received a request from a Faculty Member (or third party) that a member of the Committee should recuse him/herself?

Refer to Articles 8.1 through 8.7 inclusive of the UGFA Collective Agreement. The Dean is responsible for determining whether a conflict, actual or apparent, exists and, if so, shall determine the appropriate option(s) for addressing the issue.

What happens if the Chair of the Department Committee recuses him/herself?

When the Chair recuses him/herself (e.g. when his/her case is being considered by the Committee), the Department Committee will choose one of the elected Department Members to act as chair of the Committee while the matter is dealt with.

Can an administrative assistant or secretary be present in the room to take notes on behalf of the Chair?

Yes, a secretary or administrative assistant may be present, at the request of the Chair (or Dean, at the College Committee), to serve as the Committee "scribe", whose role will be to assist the Chair (or Dean) in note taking for his/her use in the crafting of the Department Committee Report(s) (or Letter from the College Committee). Such "scribe" will not be granted speaking privileges at the Committee (other than to ask questions of clarification regarding process) and will retain the confidentiality of all discussions and deliberations of the Committee.

How are decision at the Tenure and Promotion Committee meetings reached?

Proceedings of the Committee are confidential. Decisions at the Department and College Committees are reached by majority vote through secret ballot voting. In the case of a tie vote, the Chair will decide.

Who is eligible to vote at the Department Committee?

The Chair and the four elected Members of the Department Committee are eligible to vote. The College Member of the Department Committee attends the Department Committee meetings in an *ex-officio* capacity, and therefore is not eligible to vote at the Department Committee. If there is a tie vote, the Chair has an additional vote, to break the tie.

Who is eligible to vote at the College Committee?

The Dean, the Department Representatives to the College Committee, and the College Representative to the Department Committees are all eligible to vote at the College Committee. If there is a tie vote, the Dean has an additional vote, to break the tie.

PERFORMANCE RATERS: What are they? When and how are they determined?

There are five overall performance raters, as outlined immediately below. Each of these overall performance raters will be determined (as described below) through assessment of the faculty member's performance in each of his/her areas of effort (i.e., teaching, research/scholarship, service).

Overall Performance rater of "Unsatisfactory"

An overall "Unsatisfactory" Performance rater is appropriate when the faculty member's performance has been assessed as unsatisfactory in at least two of the areas of teaching, research/scholarship or service/administration.

Overall Performance rater of "Improvement Required/Developmental"

An overall "Improvement Required/Developmental" performance rater is appropriate when the faculty member's performance has been assessed as improvement required (or need for development) in two of the areas of teaching, research or service/administration and unsatisfactory in the other area of responsibility.

Overall Performance rater of "Good"

An overall "Good" performance rater is appropriate when the faculty member's performance has been assessed as at least good in two of the areas of teaching, research or service/administration and at least improvement required/developmental in the other area of responsibility.

Overall Performance rater of "Very Good"

An overall "Very Good" performance rater is appropriate when the faculty member's performance has been assessed as very good in two of the areas of teaching, research or service/administration and at least good in the other area of responsibility.

Overall Performance rater of "Outstanding"

An overall "Outstanding" performance rater is appropriate when the faculty member's performance has been assessed as outstanding in two of the areas of teaching, research or service/administration, and with international recognition, and at least very good in the other area of responsibility.

Is there discretion at the Committee level to assign an overall performance rater which does not comply with the descriptors provided above?

Yes, the above descriptors are intended to serve as a guide in the Committee's assessment of a Member's overall performance. The Member's agreed-upon Distribution of Effort (DoE) forms the context for the assessment of performance in each area of responsibility (i.e. Teaching, research/scholarship, service), and this then forms the basis for the overall performance rating. Committee's will assess each area or responsibility and then, based on the above descriptors of the overall performance raters will recommend an overall performance rating.

What happens if the assessment of the three individual areas of responsibility does not specifically fall into one of the above performance rater descriptors?

In these cases, the Committee will use its discretion in determining the best fit Overall Performance Rater. The following example may serve as guidance in these situations.

Faculty Member Z has a DoE = 40% teaching: 40% research: 20% Service

She has been assessed by her Department Committee as Unsatisfactory in Teaching, Outstanding in Research, and Good in Service. She does not meet the specified criteria for "Outstanding", as she is not "Outstanding" in two of her areas of responsibility. She does not meet "Very Good", as she is not "very good" in two of her areas

of responsibility. She falls somewhere between “improvement Required/Developmental” and “Good”. Then, based on the discussion and consideration of such things as point in career (i.e. junior Assistant Prof or Senior Prof), performance history, her comments that may have been appended, etc..... the Committee will decide if her overall performance is “Good” or “Improvement Required”.

When conducting the Biennial Performance Assessment Process, does the Committee need to assign performance raters in each of the areas of effort (i.e. Teaching, Research/Scholarship, Service) or just the overall performance rater?

When conducting the biennial “on-year” evaluation, the Tenure and Promotion Committees MUST indicate the performance rater in each of the faculty member’s areas of effort AND the Committee MUST also indicate the overall performance rater.

Does the Committee have to hold a secret ballot vote when assessing each area of effort, or are they only voting by secret ballot on the overall performance rater?

The Committee must hold a secret ballot vote on the overall performance rater for each faculty member considered. The Committee is not required to hold a secret ballot vote on the performance raters for the individual areas of effort; however, must reach consensus as to the performance of the faculty member in each of these areas. If any Member of the Committee requests that a secret ballot vote be held, the Committee must comply.

Does the Committee have to assign performance raters for tenure-track faculty who are being considered for the purpose of feedback and how they are progressing toward the granting of Tenure and Promotion to Associate Professor?

The Committee must provide constructive feedback to the faculty member in each of the areas of effort (Teaching, Research/Scholarship, Service), and must provide a recommendation with respect to the faculty member’s progress toward meeting the criteria for the granting of Tenure and Promotion to Associate. Performance raters are not however assigned to either individual areas of effort or to the overall performance.

ACCEPTABLE EXTERNAL ASSESSORS

To be considered acceptable, external assessors must have an “arm’s length” relationship to the Faculty Member being considered for Promotion and/or Tenure.

"Arm's length" is a principle which implies that the external referees have no connections or relationships with the candidate in question to increase the likelihood of an objective assessment. Accordingly, the following categories of individuals will normally not be considered as suitable external referees: the candidate's dissertation supervisor, the candidate's teachers, the candidate's spouse, individuals who have recently collaborated with the candidate in the production of scholarly works and publications and individuals who hold grants as collaborators or are submitting grant applications as collaborators. *

(excerpt borrowed from Dalhousie University)*