ATTENTION Dean, Chairs and Directors

FROM Catherine Stoddard, Associate Director

RE Contract Renewal, Tenure and Promotion (RTP) Procedures
2016/2017 Faculty RTP list

cc: Dean's Secretaries, Chair's Secretaries, Director's Secretaries,
Faculty TPC Secretaries

DATE April 4, 2016

I attach lists of research and teaching faculty up for contract renewal, tenure and promotion (RTP) consideration in 2016. These lists have been updated to take into account your feedback to the draft lists sent out last month. The decisions that the TARC/TPC and Dean need to make are clearly marked on the lists for your convenience. Academic Relations staff member Karim Dossa deals with RTP and Salary Reviews and can be reached with any questions regarding the lists at e-mail: dossa@sfu.ca; telephone: 2-5681.

Please advise Karim if your records do not agree with ours, if faculty are added or removed from the list, or if there are early consideration requests for tenure or tenure and promotion.

Part A of this memo deals with Contract Renewal, Tenure and Promotion Procedures for Tenure Track Research Faculty (Instructors, Assistants, Associates and Full Professors); Part B deals with Promotion Procedures and Policies for Teaching Faculty (Lecturers, Senior Lecturers and Teaching Professors).

A. RTP Policies for Contract Renewal, Tenure and Promotion for Research Faculty

1. General Criteria:

RTP policies and procedures for research faculty are set out in Academic Policies A11.01 through A11.06. The RTP assessments and recommendations for research faculty should take into consideration both the University Criteria for RTP set out in Policy A11.05 and the applicable Criteria and Standards developed by each Department/School. The University Criteria supersedes the Department/School Criteria if there is a conflict.

Please provide a copy of the appropriate Criteria and Standards to the external referees and include it in the consideration packages sent to the research faculty member, TPC, Dean, VPA and President. Faculty members being considered for Renewal, Tenure or Promotion to Associate Professor should be reviewed using the departmental and university criteria existing at time of hire unless the faculty
member opts for the more recent criteria. The most recent University and Departmental criteria should be used for cases involving promotion to Full Professor.

Appendix II in Policy A11.01 provides the External Referee Template letter and guidelines for external referees. These should be reviewed and used by the Dean in modifying the referee letter for his or her own use. Some faculties/departments are also requesting faculty members to provide a statement of their research interests and contributions. This is helpful to the TPC and external referees.

Departmental criteria should be reviewed, revised and affirmed at least every three years. In multidisciplinary departments, departmental criteria should provide clear guidelines for assessing colleagues from different disciplines.

2. Key Policy Highlights:

a) Early Tenure

Faculty members who meet the requirements for early tenure can apply by April 15, 2016 to their Dean to request early tenure and promotion consideration and the Dean must make this decision by May 1, 2016. A negative decision is not relevant in any future tenure consideration.

b) RTP Notice

Chairs/Directors should provide written notification to all research faculty members being considered for RTP by May 1, 2016 and include a copy of the appropriate University and Departmental Criteria and Standards against which they will be assessed.

A faculty member may request a delay in their RTP consideration of a year at a time (see A11.01 paragraph 2.7).

c) TPC Composition

The composition of the TPC must be based on current faculty ranks (April 2016) and not on a future rank attained through a promotion effective on September 1, 2016. One Alternate from the research faculty should be elected or ratified for the TPC.

d) RTP Application and External Referees

By May 15, 2016 faculty members must submit their letter of application and an updated CV to the TPC. The TPC must provide the faculty member with a list of 4 referees by May 30, 2016. The faculty member must submit a rank-ordered list of 8 referees to the TPC by June 15, 2016. The TPC can comment on the quality of the referees chosen by the faculty member but cannot veto them.
Referees should be at arm's length from the candidate. They should not have been a recent thesis supervisor, co-author, co-researcher or personal friend of the faculty member or a SFU faculty member. The faculty member should not contact the proposed referees to see if they are available or for any other reason. That will compromise the referee and may cause them to be eliminated.

The faculty member then must provide a final rank-ordered list of 8 referees to the TPC by June 30, 2016. The faculty member must indicate in writing that it is a final list. We would strongly encourage you to get more than 8 names given recent experience that referees drop off.

Please ask external referees to confirm that they are not in a conflict of interest relationship with the faculty member. In your letter, please include the following statement:

"This candidate has named you as a person whom we may contact for a reference. It is understood between SFU and yourself that the letter of reference you prepare is supplied in confidence. Pursuant to provincial law and University policy, your identity as an external referee in this proceeding will remain confidential. Candidates are provided with an anonymized version of referees' letters for tenure and promotion purposes. In order to maintain your confidentiality, it would be helpful if you could provide your evaluation on a separate sheet from your covering letter, rather than on letterhead."

The Chair of the TPC can send letters to the referees as soon as s/he has received at least three sample publications from the faculty member and the faculty member indicates that the list is final. If more referees are needed the Chair of the TPC can advise the faculty member and request a further list of names. You can send out a statement of research as well to the external referees. Please note that referees should not be asked to recommend whether the candidate would be tenured and/or promoted at their institution.

External referee letters are not required in Contract Renewal cases.

e) TPC's Legal Duty of Fairness and Confidentiality
The TPC/TARC must operate with a legal duty of fairness, be impartial in its consideration of each case and have knowledge of the relevant policies and process. If any member of the TPC/TARC is in a conflict of interest with a candidate or feels they cannot be impartial, they should recuse themselves from considering the case and step off the TPC/TARC. If a candidate brings forward evidence to a TPC/TARC Chair or Dean demonstrating that a member of a TPC/TARC cannot be impartial, i.e. that there is a reasonable apprehension of bias, then the Chair of the TPC/TARC must instruct that
member that s/he cannot participate in any further consideration of the case. A faculty member who is up for review cannot be a member of the TPC/TARC.

The TPC/TARC [and office staff providing assistance] should be reminded that Freedom of Information/Protection of Privacy law and policies apply to RTP considerations and that they are under a legal duty to protect the confidentiality of each candidate and his/her information. A failure to do so is a serious policy breach. The TPC/TARC and its staff should review the university confidentiality policies annually at the start of each new term in May. They may also wish to sign a confidentiality agreement at the start of the RTP considerations each year.

f) TPC Draft Assessment
The TPC must keep minutes of its deliberations and provide a draft assessment of the RTP application to the faculty member by December 1, 2016. In exceptional circumstances, if this timeline cannot be followed, the faculty member must be advised in writing before December 1, 2016 of the anticipated delay, the reasons for it, and the expected date upon which s/he will receive the assessment.

I. The TPC should treat the assessment as a performance review of the teaching, research and service record, and provide sufficient detail in regard to each area in the draft assessment to allow the faculty member to make a full response. The TPC may choose to meet with the faculty member prior to writing its draft assessment if it has any questions for the faculty member. The faculty member can also request a meeting with the TPC before the draft assessment is prepared or after receipt of it. Illness and parental leaves should be taken into account in any assessment so as not to negatively impact the faculty member. If there are questions regarding how to handle issues relating to delay in consideration, please contact Academic Relations for assistance.

II. The faculty member can request anonymized copies of each referee letter before meeting with the TPC or providing his/her response to the TPC. TPCs need to be vigilant about anonymity. We have seen a number of examples where it was possible to identify referees. To anonymize, do not simply black out portions of the external referees letters. If a referee has provided a separate letter with no identifier information, you can send that after reviewing the letter to ensure referee identity is not compromised. If not, please retype or copy the relevant information onto a separate document for each referee identified by A, B, C, D, etc.

III. The TPC must not vote on or make a recommendation prior to sending the draft assessment to the faculty member. As a consequence, there should be no indication in the draft assessment of the TPC's recommendation or vote. Try to avoid using the word "unanimous" as it is an indication of the
vote. But the draft assessment must be more than just a description of the faculty member’s activities. It should provide a full assessment of the faculty member’s research, teaching and service performance for the period reviewed and should refer specifically to the University Criteria and the applicable Criteria and Standards developed by the Department/School.

IV. All Members of the TPC/TARC must be present for all meetings of TPC/TARC deliberations and if not, they should not vote in the final decision. E-mail should be avoided for all substantive discussions. The Alternate TPC/TARC member can replace those TPC/TARC members who have a conflict with respect to one case only, or long term, if a member has to be replaced on a long-term basis. All members of the TPC should review the draft assessment before it is sent out. While no vote is taken at the draft assessment stage, the faculty member must be made aware of any concerns that members of the TPC may have in order to prepare an informed and appropriate response to the draft assessment.

V. The draft assessment must advise the faculty member that they have two weeks to provide any written response, further explanation or additional material to the TPC.

g) Joint Appointments [A11.07]

With any joint appointment the faculty member will have a “home” department and an “other” department.

Within the same faculty
The TPC of the “other” department shall provide the “home” with an assessment (no vote) and the “home” shall take that into consideration in the departmental level assessment and mention it in the final recommendations to the Dean. The “home” should provide the “other” with a copy of the final recommendation.

Across two Faculties
If the faculty member’s appointment is across two Faculties, the TPC of the “other” department shall provide the “home” with the assessment. The “home” department shall mention the assessment in the department level recommendation it makes and provides it to the “home” Dean (and provides it to the “other” department who provides it to their Dean).

The “other” Dean shall also provide the “home” Dean with an assessment. The home Dean shall mention this in the faculty recommendation.

Administrative Appointments
Where faculty members have administrative appointments in the same or another faculty, those “other” supervisors should be asked for an assessment
by the "home" department to be considered as part of any RTP review process.

h) TPC Recommendation to the Dean
The TPC/TARC Chair should propose the recommendation to be voted on in the affirmative. All members of the TPC/TARC are expected to form an opinion and vote. Abstentions are not permitted. The results of the vote are disclosed only to the Dean and are not to be disclosed to the faculty member. In developing the recommendation the TPC/TARC must specify the basis on which the recommendation was made and identify the information it relied on to inform the recommendation in sufficient detail to allow the faculty member to respond.

Split vote – If there is a split vote by the TPC resulting in a majority and minority recommendation, the minority recommendation (and the basis for it) must be clearly set out, either at the end of the majority recommendation, in a separate document, or incorporated throughout in the majority recommendation. The faculty member must be made aware of the details of the minority position in order to prepare an informed and appropriate response.

Teaching performance must be measured by a combination of methods. Annual student surveys must be complemented by other form[s] of assessment. These other means, set out in A11.05, include the observations of faculty colleagues, teaching portfolios, and the calibre of supervised dissertations and theses.

Note that satisfactory performance in teaching and research is a minimum requirement as is evidence of meaningful service contribution. For tenure and promotion, the criteria required is a record of successful teaching, scholarly achievement and participation in service. Excellence in teaching and research is the criteria required for promotion to professor as is meaningful service and evidence of national or international reputation.

Salary recommendation – the final recommendation should include a recommendation for steps on promotion for the year of the promotion and the following year. Departments add to their own and the Dean’s workload by leaving the step recommendations to the salary review. Departments and Deans are in a better position to make the salary recommendation now, rather than later; as the assessment is fresh. With steps on promotion, the TPC is not limited to the 1.25 or 1.3 steps average imposed during regular salary reviews.

All members of the TPC should review the recommendation before it is sent out to the Dean and the faculty member by January 15, 2017. In exceptional circumstances, if this timeline cannot be followed, the faculty member must be advised in writing by January 15, 2017 of the delay, the reasons for it, and the expected date upon which s/he will receive the recommendation. The
faculty member should be advised they have 14 days from the date of receipt to provide a further response, information or comments to the Dean.

Relevant information received from the candidate at any stage of the assessment process should be reviewed and sent for consideration to the next level.

i] Dean’s Recommendation
The Dean must send his/her recommendation to the VPA and faculty member by February 15, 2017. In exceptional circumstances, if this timeline cannot be followed, the faculty member must be advised in writing before February 15, 2017 of the delay, the reasons for it, and the expected date upon which s/he will receive the assessment.

The Dean’s recommendation should set out the basis on which the recommendation was made. The Dean should also include a salary step recommendation for the promotion year and the following year. If the Dean and TPC recommendations are positive, the Dean should send his/her recommendation to the VPA with a copy to the faculty member advising them they have 14 days to provide any response to the VPA.

j] FRC Appeal
If both the recommendations of the Dean and the TPC are negative or if the Dean disagrees with the TPC, the Dean should send his/her recommendation to the VPA and Academic Relations who set up an FRC (Faculty Review Committee). The Dean should send a copy to the faculty member and advise the faculty member of their right to a review before an FRC and their right to provide a further response on the appeal within 14 days to the VPA’s office through the Academic Relations office.

2. Negative Decisions by TPC and Dean

I would like to review all negative recommendations made by the TPC/TARC or the Dean prior to these assessments/recommendations being sent to the faculty member to ensure that no procedural irregularities have occurred. This is not a substantive review and will be undertaken as expeditiously as possible.

Please provide the following documents for this review:

From the TPC
a) the recommendation package received by the TPC and the draft assessment the TPC intends to make before it is sent to the faculty member, and
b) the Committee’s Procedures and Rules and Departmental Criteria.
From the Dean

a) the recommendation package received by the Dean and the draft recommendation that the Dean intends to make, and

b) the Committee’s Procedures and Rules and Departmental Criteria.

3. RTP Documents should be sent to the VPA through Academic Relations

The Dean should forward all contract renewal, tenure and promotion cases to Academic Relations. We will review them and send them on. Cases will be routed to the VPA, President or to a Faculty Review Committee as appropriate.

Please send me the following materials for the VPA, President’s and or FRC Review.

a) Summary Forms – For Contract Renewal, Promotion and/or Tenure (attached)

Please summarize all of the recommendations made on the attached Overall Summary Forms for all faculty members who are considered for promotion and/or tenure and send them to me along with the individual packages.

b) RTP Checklist for Individual Cases (attached)

Please attach one of these checklists to the front of each faculty member’s package. The checklist should be completed progressively as recommendations are completed and forwarded on.

Please note that a one page biography of each of the external referees should be included and not the full curriculum vitae.

Please photocopy all materials double-sided – if possible.

Supporting documents (such as books, monographs, videotapes, etc.) should not be sent to this office but retained in the Chairs/Directors office instead. These materials will be requested on an as-needed basis.

B. Promotion Procedures and Policies for Teaching Faculty

These policies can be found in A12.01 section 9.1-9.8.

1. General Criteria:

Promotion policies and procedures for teaching faculty are set out in Academic Policy A12.01 sections 9.1 to 9.8. These policies and procedures should be followed systematically at all stages of each consideration.
The Promotion recommendations for teaching faculty should take into consideration the criteria for promotion to Lecturer set out in A 12.01 section 9.1 or the criteria for promotion to Senior Lecturer set out in A12.01 section 9.2.

2. **Key Policy Highlights:**

I have highlighted certain aspects of the Promotion policies for teaching faculty and RTP policies for research faculty that are often overlooked, below:

a) **TARC**

The Teaching Appointments Review Committee (TARC) reviews the promotion of teaching faculty. The TARC is the TPC supplemented by a laboratory instructor or lecturer elected or ratified by the laboratory instructors and lecturers in the department, who only sits on the TPC for the purpose of the teaching appointment review. One Alternate from the teaching faculty should also be elected or ratified each year for the TARC.

b) **Early Promotion to Senior Lecturer**

A lecturer can apply for early promotion to Senior Lecturer to the Dean (copied to the Chair of the TARC) by Sept 15, 2016 if he/she has at least three years as a continuing lecturer at SFU and three years as a lecturer (or equivalent position) at a previous post-secondary institution. Note that years of service as a limited term lecturer immediately preceding appointment to a continuing position shall count towards promotion to senior lecturer.

The Dean shall consult with the Chair of the TARC and inform the lecturer of the early promotion decision by October 1, 2016 with a copy to the Chair of the TARC. If approved, the faculty member will submit their application by October 15, 2016. A negative decision will not be relevant in any future promotion consideration.

c) **Promotion to Senior Lecturer**

Chair/Directors can ask eligible teaching faculty members if they wish to be considered for promotion, and if so, to submit his/her application for promotion in writing to the Chair/Director by October 15, 2016 along with a teaching dossier and other relevant materials.

i) The TARC will submit its recommendation (including a salary recommendation) to the Dean by February 15, 2017 copied to the faculty member and advise him/her that they have 14 days to provide a response to the Dean.

ii) The Dean will make his/her recommendation (including a salary recommendation) to the VPA by April 15, 2017 after considering the recommendations of the TARC and the response of the faculty member.
Following the Dean’s recommendation, the faculty member has 14 days in which to provide a response, or further information, to the VPA as they so wish to.

III] The VPA will review the recommendations from the TARC, the Dean and the response/comments of the faculty member. The VPA’s decision is final and will be provided to the Faculty Member, Chair and Dean by June 30, 2017.

IV] If the VPA’s decision is negative the teaching faculty member must wait at least 2 years from the date of the most recent application before reapplying.

d) Promotion to Teaching Professor
Senior Lecturers in continuing positions may apply to be promoted to the new rank of Teaching Professor. As this is the second year for this new rank, there may still be issues to be worked out as you move through the process. Please advise Academic Relations as soon as you are aware that you have someone applying for promotion to Teaching Professor. If your Department has not yet approved Criteria for Promotion to Teaching Professor, you will need to complete those as expeditiously as possible if you are notified that you will have an application. (Initial criteria need to be approved by the Dean and the Vice-President Academic.)

**Continuing for this year, please submit all draft TPC and Dean’s decisions on promotion to teaching professor for review by Academic Relations prior to providing the recommendation to the faculty member. This will help ensure some consistency in how the first applications are dealt with.

i] A Senior Lecturer who is a candidate for promotion to Teaching Professor is eligible to vote in the election or ratification process that establishes the TPC. Once you are aware that a Senior Lecturer intends to apply for promotion to Teaching Professor, be sure that he/she is included in the TPC ratification vote.

ii] Where a TPC is to consider an application for promotion to Teaching Professor, one Teaching Professor must be a member of the TPC. Because there are no Teaching Professors available this year, the Dean must be consulted regarding an appropriate alternative. We have suggested that Faculty Teaching Fellows might be an appropriate alternative.

iii] The timelines for promotion to Teaching Professor mirror those of promotion to Professor. By May 15 the senior lecturer must submit their
letter of application and an updated CV to the TPC.

iv) Letters of reference from internal or external referees of high academic stature must support promotion to this rank. The same procedures outlined in Section A for Tenure Track Faculty should be followed for obtaining referee letters.

v) The remainder of the process will mirror that of Promotion to Professor as outlined in Section A above.

Please contact me at any time [2-9880] or by email [catherine_stoddard@sfu.ca] if you have any questions about procedure or regarding interpretation of any of the contract renewal, tenure and promotion policies. I am here to help ensure that you have all the information you need so that all cases are conducted in accordance with the University’s policies and procedures. I am more than willing to meet with your TPC/TARC at the beginning of the process to overview common issues and respond to any questions they may have. A copy of this memo has been posted on our website at:

http://www.academicrelations.sfu.ca/AcademicAdministrators.html

We attach the following [also posted on-line on our Academic Relations Website]:

- RTP Timelines for Renewal Tenure and Promotion (including Promotion timeline for teaching faculty).
- Individual Checklist for RTP or Lecturer Promotion to be placed on the front of each case.
- Overall Summary Forms for tenure & promotion.
- Appendix II – External Referee Template Letter and Guidelines for External Referees, including additional information re: conflict of interest.
- Form for recording final list of external referees.