ATTENTION: Dean, Chairs and Directors

FROM: Catherine Stoddard, Director

RE: Contract Renewal, Tenure and Promotion (RTP) Procedures
2017/2018 Faculty RTP list

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

DATE: April 6, 2017

I attach lists of research and teaching faculty up for contract renewal, tenure and promotion (RTP) consideration in 2017. These lists have been updated to take into account your feedback to the draft lists sent out last month. The decisions that the TPC and Dean need to make are clearly marked on the lists for your convenience. Please contact your Faculty Relations Advisor 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 University Professors).

A. Contract Renewal, Tenure and Promotion for Research Faculty

1. General Criteria:

RTP policies and procedures for research faculty are set out in Article 30. The RTP assessments and recommendations for research faculty should take into consideration both the University Criteria for RTP set out in Article 28 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.
Departments are encouraged to develop departmental criteria for evaluating contributions pursuant to Criteria for Assessing Non-Traditional Scholarship and Criteria for Assessing Scholarship in the Fine and Performing Arts that may be particularly relevant to their disciplines. Faculty members who expect to engage in such scholarship are encouraged to consult with their TPC Chair well in advance of a contract renewal, tenure and/or promotion application to discuss how this work might be best presented for evaluation by the TPC. A faculty member may request that one external referee have expertise consistent with the non-traditional work to be reviewed; where appropriate, and with agreement of the TPC, this referee may be a person with expertise and stature who may not have academic credentials.

The TPC must use a template letter and guidelines for external referees that have been approved by the Department and the Dean. A sample is available on our Faculty Relations website. 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.

2. Key Policy Highlights:

a) Early Tenure
   Faculty members who meet the requirements for early tenure can apply by April 1, 2017 to their Dean to request early tenure and promotion consideration and the Dean must make this decision by April 15, 2017. 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 April 15, 2017 asking the faculty member submit an application and a full curriculum vitae on or before May 1, 2017. Also included should be 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 (Articles 30.13-30.16).

c) TPC Composition
   The composition of the TPC must be based on current faculty ranks (April 2017) and not on a future rank attained through a promotion effective on September 1, 2017. One Alternate from the research faculty should be elected or ratified for the TPC.

d) RTP Application and External Referees
   By May 1, 2017 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 5 referees by May 15, 2017. The faculty member must submit a list of at least
5 referees to the TPC by May 15, 2017. The faculty member and TPC will have opportunity to comment on each other’s list by May 30, 2017.

Starting June 1, 2017 (or as soon as referee confirmation has taken place), the TPC will request confidential letters of reference from six referees, at least three of which must be from the faculty member’s list. If additional referees are required, the faculty member must provide additional names. We would strongly encourage you to get more than 5 names given recent experience that referees drop off.

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.

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."

Please note that referees should not be asked to recommend whether the candidate would be tenured and/or promoted at their institution.

The references must be received in writing. If received by email, the TPC Chair must verify that they are satisfied that the reference is legitimate. There must be a minimum of four referees’ reports received before the case can be considered. At least two of the reports must be from referees who appear on the faculty member’s list. The TPC should not consider unsolicited letters of reference from faculty members at the University, including retired faculty members, or from other members of the University community.

External referee letters are not required in Contract Renewal cases.

e) TPC’s Legal Duty of Fairness and Confidentiality
The TPC 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 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. If a candidate brings forward evidence to a TPC Chair or Dean demonstrating that a member of a TPC cannot be impartial, i.e., that there is a reasonable apprehension of bias, then the Chair of the TPC 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.

The TPC (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 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 November 15, 2017. In exceptional circumstances, if this timeline cannot be followed, the faculty member must be advised in writing before November 15, 2017 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 Faculty 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 identify 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 must be present for all meetings of TPC deliberations and if not, they should not vote in the final decision. E-mail should be avoided for all substantive discussions. The Alternate TPC member can replace those TPC 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 (Article 24)
With any joint appointment the faculty member will have a "primary" department and a "secondary" department.

For renewal, tenure and promotion procedures, the TPC of the Secondary Department will provide the Primary Department with an assessment and the Primary Department will consider that in making the department level recommendation to the Dean. If the faculty member's appointment is across two faculties, the Secondary Dean will also provide the Primary Dean with an assessment.

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

h) TPC Recommendation to the Dean
The TPC Chair should propose the recommendation to be voted on in the affirmative. All members of the TPC 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 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.

A faculty member who is being considered for contract renewal, tenure and/or promotion and for salary review must be evaluated on the basis of their performance in three key areas of activity: teaching effectiveness; scholarly activity and service to the University, their academic discipline or the broader community. At a minimum, satisfactory performance in both teaching effectiveness and scholarly activity must be demonstrated. Less than satisfactory performance in either will not meet the expectations of the University. In addition, there must be evidence of meaningful service contributions.

Requirements for Associate Professor - An important criterion is the demonstration of continued professional growth of the individual in their field(s), including recognition as an established scholar. External referees of high academic stature must assess the individual’s research contributions.

Requirements for Professor - The total overall career contributions of the faculty member in areas of teaching, research and service to the University and the community will be taken into consideration. The rank of Professor is designed for those who have excelled in teaching and research. Appointment or promotion to this rank requires evidence of national or international reputation in their area of expertise, supported by letters from external referees of high academic stature.

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.

At the time of promotion, a Member’s entire career performance is reviewed and salary placement in the new rank is made on the basis of that review. In
particular, consideration should be given to steps awarded but not received. Promotion adjustments usually take effect on September 1st. The recommendation for placement on promotion will include a recommendation for step awards in the year following promotion.

All members of the TPC should review the recommendation before it is sent out to the Dean and the faculty member by January 15, 2018. In exceptional circumstances, if this timeline cannot be followed, the faculty member must be advised in writing by January 15, 2018 of the delay, the reasons for it, and the expected date upon which s/he will receive the recommendation. If a TPC fails, without sufficient cause, to make a recommendation on time, the TPC Chair will make the recommendation and transmit it to the Dean by January 30th, 2018 accompanied by an explanation of the failure of the TPC to meet the deadline. 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, 2018. In exceptional circumstances, if this timeline cannot be followed, the faculty member must be advised in writing before February 15, 2018 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. Deans will review all salary adjustments at the time of promotion to prevent and/or address inequities that may be attributable in whole or in part to any prohibited ground of discrimination.

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.

Pertinent material received after a recommendation has been made formally at any of the stages of review will be forwarded for consideration to the next higher stage. If the new material is judged to be sufficiently important, the Dean, the Vice-President, Academic, the FRC or the President may direct that the case be reconsidered at any of the previous levels of review. A summary of the pertinent material will be sent to the faculty member under review. If there is to be a reconsideration, a revised timetable for the case will be adopted and the
candidate will be notified. The reconsideration will be governed by the same procedures as the initial consideration.

**J1 FRC Appeal**

If both the recommendations of the Dean and the TPC are negative or if the Dean disagrees with the TPC, a Faculty Review Committee (FRC) will be convened by the University. The Dean should send his/her recommendation to the VPA and Faculty Relations who set up the FRC. 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 Faculty Relations office.

2. **Negative Decisions by TPC and Dean**

I would like to review all negative recommendations made by the TPC 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 Faculty Relations**

The Dean should forward all contract renewal, tenure and promotion cases to Faculty 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 for Teaching Faculty [Article 35]

1. **General Criteria:**

Promotion procedures for teaching faculty are set out in Articles 35.50-35.56.3. These procedures should be followed systematically at all stages of each consideration.

2. **Key Policy Highlights:**

a) **TPC**

Continuing lecture faculty members are not eligible for tenure, but may serve on a TPC [as per Article 29: Establishment of Tenure and Promotion and Faculty Review Committees] and may vote in any election of Members to that committee and participate fully in departmental, faculty and university activities.

Term lecture faculty members holding appointments of more than one year or who have two or more consecutive one-year appointments may participate in departmental, faculty and university activities, except that they may not serve on a TPC, vote in any election of members to the TPC or vote in demonstrated support votes.

Continuing Laboratory Instructors may not serve on a TPC but may vote in any election of Members to that committee and participate fully in departmental, faculty and university activities.

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 TPC] by Sept 15, 2017 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, both of which must be at least half time.

The Dean shall consult with the Chair of the TARC and inform the lecturer of the early promotion decision by October 1, 2017 with a copy to the Chair of the TPC. If approved, the faculty member will submit their application by October 15, 2017. A negative decision will not be relevant in any future promotion consideration.

c) Promotion to Senior Lecturer
Chairs/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, 2017 along with a teaching dossier and other relevant materials. Referee letters are not required for promotion to Senior Lecturer.

i) The TPC will submit its recommendation (including a salary recommendation) to the Dean by February 15, 2018 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, 2018 after considering the recommendations of the TPC 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 is 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, 2018.

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 University Lecturer
Senior Lecturers in continuing positions may apply to be promoted to the new rank of University Lecturer. As this is the inaugural year for this new rank, there may still be issues to be worked out as you move through the process. Please advise Faculty Relations as soon as you are aware that you have someone applying for promotion to University Lecturer. If your Department has not yet approved Criteria for Promotion, 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.]

**Please submit all draft TPC and Dean’s decisions on promotion to University Lecturer for review by Faculty Relations prior to providing the recommendation to the faculty member. This will help ensure consistency in how these initial applications are dealt with.

i) For promotion to University Lecturer, at least four letters of reference from internal or external referees of high academic stature must support promotion to this rank. Referees will be chosen in the same manner as those for research faculty promotions.

ii) Procedures will mirror those of research faculty as outlined in Article 30: Contract Renewal, Tenure and Promotion.

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 at the beginning of the process to overview common issues and respond to any questions they may have.

A copy of this memo along with the following additional resources have been posted on our Faculty Relations Website:

- 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.
- External Referee Template Letter and Guidelines for External Referees, including additional information re: conflict of interest.
- Form for recording final list of external referees.
Article 32: Contract Renewal, Tenure and Promotion—Developing Recommendations to the President

32.1 In developing a recommendation, each level of review must specify the basis on which the recommendation is made and the information that is relied on in formulating the recommendation. This must be set out in sufficient detail to allow the Member to make a full response.

32.2 After the Tenure and Promotion Committee (TPC) has examined and discussed the material relevant to a case, including the letters of reference, the Member will have the opportunity to meet with the TPC to answer any questions the TPC may have. This meeting may be initiated by either the candidate or the Chair of the TPC.

32.3 By November 15th, prior to voting on and making a recommendation, the TPC will provide the Member with a draft assessment of their performance, in a manner consistent with requirements for maintaining confidentiality. The Member will have two weeks to provide the TPC with any written explanations or additional material in response to the draft. The Member also has the right to anonymized versions of all letters and of the covering letter sent to the referees, and to appear before the TPC. A Member may be accompanied by a support person or represented by the Association at any such meeting.

32.4 The TPC will consider all materials and vote on the case. Motions should be framed in positive terms. In the event of a tie vote, the recommendation will be forwarded as unfavourable to the case of the Member.

32.5 The TPC will forward its recommendations concerning renewal, tenure, and/or promotion to the Dean of the faculty by January 15th. This recommendation must be accompanied by a statement of the reasons for the recommendation, all material received, the vote results, and a list of any additional material considered by the TPC. If the decision is not unanimous, then the members dissenting from the majority opinion must submit a written statement of dissent. All members of the TPC are to be given the opportunity to review the statements referred to above before they are sent to the Dean.

32.6 At the same time, the TPC will transmit to the Member a copy of the recommendation of the TPC, and the reasons for the recommendation and for dissent, if any, and a list of all the materials sent to the Dean. Neither the identity of those who have given confidential assessments nor any aspect of the vote of the TPC will be disclosed in the copy to the Member.

32.7 If a TPC fails, without sufficient cause, to make a recommendation on time, the TPC Chair will make the recommendation and transmit it to the Dean by January 30th, accompanied by an explanation of the failure of the TPC to meet the deadline.

Review by the Dean

32.8 A Member has the opportunity to provide the Dean with their comments on the recommendation of the TPC within two weeks of its transmittal to them. They may also meet with the Dean and be accompanied by a support person or represented by the Association at any such meeting.
32.9 The Dean will make their recommendation after considering the recommendation from the TPC, the comments, if any, of the Member, and such other information as the Dean considers relevant. If the Dean chooses to obtain additional letters of reference, they will go back to the Member and the TPC for suggestions of other potential referees. All referee’s reports are to be written and the Member is entitled to anonymized versions of all letters.

32.10 In cases of tenure, promotion or contract renewal, if the recommendations of the TPC and of the Dean are both positive, the Dean will forward their recommendation to the Vice-President, Academic.

32.11 If the Dean's recommendation is different from the recommendation made by the TPC, or if the Dean concurs with the negative recommendation of the TPC, a Faculty Review Committee will be convened by the University.

32.12 In all cases, by February 15th, the Dean will forward their recommendation, a complete statement of the reasons for the recommendation, all materials received, and a list of any additional materials considered. A copy will be sent to the Chair of the TPC. At the same time, the Dean will transmit to the Member a copy of their recommendation which will include a statement of the reasons, with any information which might identify any authors of confidential assessments deleted, and a list of any additional materials considered by the Dean beyond those considered by the TPC. The Dean will also advise the Member that they may comment on the recommendation and may submit additional information to the Vice-President, Academic.

Faculty Review Committee

32.13 A Faculty Review Committee (FRC) will review cases in the following categories:

32.13.1 Contract renewal, tenure and promotion cases that have negative recommendations from the Tenure and Promotion Committee (TPC) and the Dean

32.13.2 Contract renewal, tenure and promotion cases in which the Dean disagrees with the recommendation of the TPC

32.14 A FRC will examine any case submitted to it and will make a recommendation for or against renewal, tenure, or promotion.

32.15 Prior to making a recommendation, the FRC must confer separately with the Dean, with the Chair and two representatives of the TPC elected by and from the TPC, and with the Member, in that order, except that the Member may decline, without prejudice, the opportunity to appear before the FRC.

32.16 At the conclusion of each interview with a Dean or with the representatives of the TPC, a FRC will prepare a summary of all additional information concerning the case (i.e. information which was not part of the written record in the case) that was obtained during the interview. These summaries will be provided to the faculty member at least five days before their interview with a FRC.

32.17 If a FRC chooses to obtain additional letters of reference, procedures similar to those established above will be followed.
32.18 The Vice-President, Academic will forward the recommendation of the FRC, along with their comments, to the President by April 30th. This recommendation will be accompanied by a statement of reasons for the recommendation and must be copied to the Dean, the Chair of the TPC and the faculty member involved, in a manner that would protect the identity of any authors of letters of reference or other confidential assessments. In addition, a FRC will provide a list of any material that was considered by the FRC that was not considered by the Dean. When letters of reference or other confidential assessments form part of the documentation, anonymized versions of the original letters will be provided to the faculty member, unless they have already been provided by the Dean or the TPC.

32.19 A Member may be accompanied by, or represented by, the Association at any stage of the review process.

Development of Recommendations to the Board of Governors

32.20 The President will review the recommendations they receive from the Deans and Faculty Review Committees.

32.21 The candidate will have the right to meet with the President prior to the President’s recommendation to the Board of Governors, and may be represented by the Association.

32.22 By May 30th the President will inform the Chair of the FRC, the Dean, the Chair of the TPC, the Association and the faculty member if they intend not to recommend to the Board of Governors contract renewal, tenure or promotion for the Member. Otherwise, the President will forward recommendations for contract renewal, tenure and promotion to the Board of Governors for approval.

Salary Placement upon Promotion

32.23 At the time of promotion, a Member’s entire career performance is reviewed and salary placement in the new rank is made on the basis of that review. In particular, consideration should be given to steps awarded but not received. Promotion adjustments usually take effect on September 1st. The recommendation for placement on promotion will include a recommendation for step awards in the year following promotion.

32.24 Deans will review all salary adjustments at the time of promotion to prevent and/or address inequities that may be attributable in whole or in part to any prohibited ground of discrimination.

Article 33: Biennial Reviews and Step Awards (Research and Teaching Faculty)

33.1 A Member whose appointment (new or promotion) starts on September 1st will be subject to review starting in the January 16 months after the start of the appointment. Faculty members commencing appointments on a date other than September 1st will be deemed to have started on the nearest September 1st.

33.2 If a newly appointed Member has held an appointment for six months or more, they will receive a one step award without review on the September 1st following their
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<td>April 1</td>
<td><strong>Early Promotion:</strong> Submission (plus full C.V.) to Dean and copied to Chair of the TPC</td>
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<tr>
<td>April 15</td>
<td><strong>Early Promotion:</strong> The Dean must inform the faculty member and the Chair of the TPC in writing whether the request is approved or rejected, with reasons</td>
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<tr>
<td>April 15</td>
<td>Chair to provide the faculty member with written notice of a scheduled tenure consideration</td>
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<tr>
<td>May 1</td>
<td>Faculty member to submit a written request to be considered for promotion, including a full C.V., to the Chair of the TPC</td>
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<tr>
<td>April 30</td>
<td>Chair forwards composition of TPC to Dean</td>
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<tr>
<td>May 1</td>
<td>Faculty member to submit an application for tenure and promotion along with full C.V.</td>
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<td>May 15</td>
<td>Dean to notify Chair that composition of TPC satisfactory</td>
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<td>May 15</td>
<td>Faculty member to submit a list of at least 5 referees to the Chair of the TPC</td>
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<td>May 15</td>
<td>TPC to provide faculty member with a list of at least 5 potential external referees</td>
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<td>May 30</td>
<td>TPC and faculty member to comment on the other's list of referees</td>
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<tr>
<td>May 30</td>
<td>Faculty member to provide the TPC with copies of at least 3 examples of their published research to be given to external referees; not required for Contract Renewal</td>
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<tr>
<td>June 1</td>
<td>TPC will request confidential letters of reference from six referees, at least three of which must be from the faculty member's list</td>
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<td>June 1</td>
<td>Dean to approve composition, etc. of TPC or recommend an appropriate composition to VPA</td>
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<tr>
<td>September 1</td>
<td>All material in support of all applications to be submitted by faculty member to TPC</td>
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<tr>
<td>November 15</td>
<td>Draft assessment from TPC must be provided to faculty member (no vote indicated and no recommendation) – <strong>two weeks to respond</strong></td>
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<td>January 15</td>
<td>Recommendation from TPC to Dean – <strong>two weeks to respond</strong></td>
</tr>
<tr>
<td>January 30</td>
<td>Recommendation from TPC Chair to Dean (if TPC fails to make a recommendation on time, without sufficient cause)</td>
</tr>
<tr>
<td>February 15</td>
<td>Recommendation from Dean to VPA (copies to Chair of TPC and faculty member); VPA sends negative or split vote cases to the FRC for review</td>
</tr>
<tr>
<td>April 30</td>
<td>FRC Recommendation with VPA comments forwarded to President (copied to Dean, Chair of TPC, faculty member)</td>
</tr>
<tr>
<td>May 30</td>
<td>President informs Chair of the FRC, the Dean, the Chair of the TPC, the Association and the faculty member if they intend not to recommend to the Board of Governors; Otherwise, will forward recommendations for contract renewal, tenure and promotion to the Board of Governors for approval</td>
</tr>
</tbody>
</table>
NOTE:

1. Should the deadline fall on a weekend, the new deadline will fall on the next Monday.

2. Faculty undergoing consideration for contract renewal DO NOT require referees and therefore the dates above regarding the referee selection process are not relevant to these cases.

3. Contract Renewal or Tenure considerations can be delayed on application to the Chair, Dean and VPA in case of medical or parental leave over 4 months, or disruptive personal circumstances (see Article 30, Sections 30.13-30.16).

Tenure-track faculty members on long term disability may have the schedules for contract renewal and tenure suspended until they resume work (Article 44, Section 26).
Contract Renewal, Tenure, Promotion Overview: Recommendation Flow Chart

TPC ← Faculty Member

→

Dean ← Faculty Member

→

FRC

(neg-neg, split)

(pos - pos)

President

Notes: Early promotion process starts with an application to the Dean
FRC = Faculty Review Committee
Promotion

35.50 A Lecturer may apply to be considered for promotion to Senior Lecturer if they have, at the time of application, completed at least five years as a Lecturer at Simon Fraser University.

35.51 A Senior Lecturer may apply to be considered for promotion to University Lecturer if they have, at the time of application, completed at least five years as a Senior Lecturer at Simon Fraser University.

35.52 Normally University Lecturer will be the highest rank for Lecture Faculty. In exceptional circumstances, a University Lecturer may apply for promotion to Professor under the same criteria outlined in University Requirements for Appointment, Tenure and Promotion.

Early Promotion

35.53 A Lecturer may apply to be considered for early promotion to Senior Lecturer if they have, at the time of application, completed at least three years as a continuing Lecturer at Simon Fraser University and three years as a Lecturer (or equivalent position) at another post-secondary institution prior to the continuing appointment at Simon Fraser University. Both of these appointments must be at least half time.

35.54 For early promotion consideration, the Lecturer must make a written submission, including a full curriculum vitae, to the Dean, copied to the Chair of the TPC by September 15th outlining the reasons for the request. In making a determination, the Dean will consult with the Chair of the TPC. The Dean will inform the Lecturer of the decision in writing with reasons by October 1st, with a copy to the Chair of the TPC. An unsuccessful early promotion application will not be a relevant consideration in any future promotion consideration.

Promotion Procedures

35.55 University criteria for promotion are listed above.

35.56 Procedures will mirror those of research faculty as outlined in Article 30: Contract Renewal, Tenure and Promotion with the following modifications:

35.56.1 Dates: to be considered for promotion, an application must be submitted in writing to the Chair by October 15th accompanied by a teaching dossier and whatever other documentation the teaching faculty member considers relevant to their case.

35.56.2 Referees: Referee letters are not required for promotion to Senior Lecturer. For promotion to University Lecturer, at least four letters of reference from internal or external referees of high academic stature must support promotion to this rank. Referees will be chosen in the same manner as those for research faculty promotions.

35.56.3 FRC Composition: Teaching faculty promotion cases will be heard by a Faculty Review Committee (FRC) on the same basis as those for research faculty (negative recommendations from both TPC and Dean, or mixed recommendations from TPC and Dean). In the case of a Teaching Faculty
Lecture Faculty

Lecturer
35.10 A Lecturer will have full responsibility for the preparation and instruction of courses, including laboratory courses, and for curriculum development.
35.11 A Lecturer should show:
35.11.1 evidence of ability and commitment to teaching;
35.11.2 evidence of promise of educational leadership;
35.11.3 involvement in service to the academic profession, to the University, or to the community as appropriate.

Senior Lecturer
35.12 A Senior Lecturer will have responsibility for the preparation and instruction of a wide range of undergraduate and graduate level courses, and may be called upon to provide leadership in curriculum development.
35.13 Promotion to Senior Lecturer will require demonstration of:
35.13.1 excellence in teaching;
35.13.2 examples of educational leadership;
35.13.3 involvement in curriculum development and innovation and other teaching and learning initiatives;
35.13.4 continuing pedagogical/professional development;
35.13.5 an appropriate level of involvement in service to the academic profession, to the University, or to the community.

University Lecturer
35.14 A University Lecturer will have responsibilities that encompass the normal requirements of classroom teaching plus activities in the areas of educational leadership, teaching mentorship and curriculum development. University Lecturers will focus on accomplishments in teaching and educational innovation and the impact on student learning.
35.15 Promotion to University Lecturer will require demonstration of:
35.15.1 outstanding achievement in teaching;
35.15.2 distinction in the field of teaching and learning including demonstrated innovation resulting in a positive impact on student learning;
35.15.3 outstanding achievement in educational leadership;
35.15.4 sustained and innovative contributions to curriculum development, course design, and other initiatives that advance the University's ability to excel in its teaching and learning mandate;
35.15.5 an appropriate level of involvement in service to the academic profession, to the University, or to the community.

Responsibilities of Lecture Faculty
35.16 Lecture Faculty have full responsibility for: the preparation and instruction of courses, including laboratory courses; the supervision of any teaching assistants or laboratory
promotion, the composition of the FRC must include at least two Senior/University Lecturers.

Elimination of Position

35.57 The University accepts that it has a responsibility to continuing employees with long service who have given good job performance and who would suffer a loss of employment as a result of departmental re-organization or elimination of their positions.

35.58 The Chair will advise a continuing teaching faculty member whose position is discontinued of the reasons for this action in writing. As much notice as possible will be given, but in no circumstances will the period of notice be less than:

35.58.1 four months for a person with service of two years or less in a continuing position;
35.58.2 eight months for a person with service of five years or less in a continuing position;
35.58.3 12 months for a person with more than five years of service in a continuing position.

35.59 The University will assist a continuing teaching faculty member whose position is discontinued in a search for suitable alternative employment within the University.

35.60 No teaching faculty member will be expected to take a reduction in salary as a result of being the successful applicant to a position in the bargaining unit in a lower salary range than they previously occupied. In such cases, the individual’s salary will be frozen unless and until the position occupied has a salary range that is greater than the salary currently received by that individual.

35.61 If no suitable alternate employment within the University has been located by the end of the notice period then:

35.61.1 up to six hours of counselling by an external consultant will be offered at no expense to the Member;
35.61.2 the teaching Member will be terminated and receive severance pay equivalent to one month’s salary and benefits for each complete year of service to a maximum of 12 months’ salary, to be paid out in a mutually agreeable manner.

35.62 For the 12 months following termination:

35.62.1 the individual may elect to carry group medical, extended health and dental coverage provided that all employer and employee portions of premiums are prepaid by the individual;
35.62.2 if the individual is re-employed by Simon Fraser University in a continuing position, severance pay will cease and any balance will be due to the University.

Faculty Status and Voting Rights

35.63 Laboratory Instructors will be considered as equivalent to faculty for the purpose of nomination, voting and election to Senate and the Board of Governors. Continuing
# Promotion Timeline – Lecturer to Senior Lecturer

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sep. 15</td>
<td><strong>Early Promotion:</strong> Submission (plus full CV) to Dean and copied to Chair of the TPC</td>
</tr>
<tr>
<td>Oct. 1</td>
<td><strong>Early Promotion:</strong> Dean to inform Faculty member and Chair, TPC in writing whether request approved or rejected, with reasons. <strong>An unsuccessful early promotion application will not be a relevant consideration in any future promotion consideration.</strong></td>
</tr>
<tr>
<td>Oct. 15</td>
<td>Application to Chair with teaching dossier, CV, and other relevant documents</td>
</tr>
<tr>
<td>Feb. 15</td>
<td>TPC’s recommendation made to Dean- copy to faculty member- 14 days to respond</td>
</tr>
<tr>
<td>Apr. 15</td>
<td>Dean’s recommendation to VPA. Copy to faculty member and Chair of the TPC- 14 days to respond. VPA sends negative or split vote cases to the FRC for review</td>
</tr>
</tbody>
</table>
| Late Summer | VPA or FRC decision  
  - If positive - promotion effective Sept.1  
  - If negative - must wait one year to re-apply  |
<table>
<thead>
<tr>
<th>Date</th>
<th>Task Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oct. 15</td>
<td>Application to Chair with teaching dossier, CV, and other relevant documents</td>
</tr>
<tr>
<td>Nov. 1</td>
<td>Faculty member to submit a list of at least 5 referees to the Chair of the TPC</td>
</tr>
<tr>
<td>Nov. 1</td>
<td>TPC to provide faculty member with a list of at least 5 potential external referees</td>
</tr>
<tr>
<td>Nov. 15</td>
<td>TPC and faculty member to comment on the other’s list of referees</td>
</tr>
<tr>
<td>Nov. 15</td>
<td>Faculty member to provide the TPC with copies of at least 3 examples of the materials they wish to be given to external referees</td>
</tr>
<tr>
<td>Nov. 16</td>
<td>TPC will request confidential letters of reference from four referees, at least two of which must be from the faculty member’s list</td>
</tr>
<tr>
<td>Jan. 15</td>
<td>All material in support of application to be submitted by faculty member to TPC</td>
</tr>
<tr>
<td>Mar. 1</td>
<td>Draft assessment from TPC must be provided to faculty member (no vote indicated and no recommendation) – 14 days to respond</td>
</tr>
<tr>
<td>April 15</td>
<td>TPC’s recommendation made to Dean- copy to faculty member- 14 days to respond</td>
</tr>
<tr>
<td>May 15</td>
<td>Dean’s recommendation to VPA. Copy to faculty member and Chair of the TPC- 14 days to respond. VPA sends negative or split vote cases to the FRC for review</td>
</tr>
<tr>
<td>Late Summer</td>
<td>VPA or FRC decision</td>
</tr>
<tr>
<td></td>
<td>• If positive - promotion effective Sept.1</td>
</tr>
<tr>
<td></td>
<td>• If negative - must wait one year to re-apply</td>
</tr>
</tbody>
</table>

Last updated: May 4, 2017
Salary Scales

42.28 Salary floors, breakpoints, and ceilings (by rank) are as set out in the scales in Appendix C: Salary Scales, September 2, 2016.

42.29 Except as provided for below, minimum salaries, breakpoints and ceilings will be adjusted on July 1st for any GWI (including any ESD increases) that took place in the previous year.

42.30 Normally, new Members will be appointed at minimum salaries plus the amount of one Regular Step Award (RSA) for each year of relevant and related experience after the award of the Ph.D. (or alternate highest degree requirement). For 2017 and prior (i.e. before the introduction of this step system), an RSA will be deemed to be $2500.

42.31 New Members may receive a market differential when hired as outlined in Market Differentials.

Step Awards

42.32 Step awards are assigned upon promotion to a new rank and through the biennial review process.

42.33 Step awards are assigned as outlined in Article 33: Biennial Reviews and Step Awards (Research and Teaching Faculty).

42.34 Progress through the ranks (PTR) should adhere to the following principles:

42.34.1 With the exception of Librarians/Archivists, Members will receive differentiated increases (i.e. there will be a merit component).

42.34.2 Increases early in a rank should be a larger proportion of salary than increases later in a rank.

Definitions

42.35 First year promotion awards pool (FYPAP):

42.35.1 Upon promotion, a Member will be assigned a step award.

42.35.2 A step on promotion will be assigned a value of 1/32 of the floor of the Assistant Professor, Lecturer, or Librarian/Archivist 2 scale, as appropriate. Normally, the step award on promotion for all Members except Librarians/Archivists will be up to two steps except where the increment on promotion includes an additional component that takes into account the criteria in Articles 32.23 and 32.24. Librarians and Archivists will receive 1.25 steps on promotion.

42.35.3 The Member will also be assigned a step award for the second year following promotion, except for Librarians/Archivists who will receive their usual 1.25 step award in the second year.

42.35.4 If nominal salary after promotion awards and roll-in of salary supplements (only for terminal ranks of University Lecturer, Professor, Librarian/Archivist 4 and Division Head) are applied remains below the floor of the new rank, nominal salary will be increased to the floor.
42.35.5 For promotions that involve an inclusion of salary supplements into the nominal salary (e.g. when being promoted to a terminal rank (University Lecturer, Professor, Librarian/Archivist 4 or Division Head), the first year promotion award will include the value of steps awarded upon promotion, but will exclude salary supplements that are rolled into the base salary.

42.35.6 The FYPAP is the sum of the first year promotion awards over all Members who are promoted on September 1st.

42.36 Nominal salary: The annual salary of a Member without reductions for study leave, parental and other leaves and not including any supplements (e.g. retention awards and market differentials) or administrative stipends.

42.37 Progress through the ranks pool (PTRP): The total amount available for distribution through Progress through the Ranks awards.

42.38 Step award pool (SAP): The total amount available on September 1st for distribution to Members via step awards.

42.39 Total Salary Mass (TSM): The total of the following salary components for all continuing Members and those on term appointments of two years or longer:

42.39.1 Nominal (base) salary

42.39.2 Market or salary differentials

42.39.3 Total Salary Mass does not include the following:

42.39.3.1 Other forms of additional pay (e.g. CRC stipends, administrative stipends, retention awards, University Professor stipend, Burnaby Mountain Endowed Stipend, Faculty Teaching Fellow stipend, etc.)

42.39.3.2 Faculty who do not otherwise participate in the biennial salary review (e.g. 100% LTD, secondment to senior administrative roles)

42.40 Assigned Step Award (ASA): In each biennial review, a Member is recommended for a step award in each of two years, as outlined in Article 33: Biennial Reviews and Step Awards (Research and Teaching Faculty). In the case of promotion, the Member is assigned a step award for the second year following promotion.

42.40.1 In the case of Librarian/Archivist Members, the ASA for eligible Members is 1.25. Librarian/Archivist Members with less than six months service, or those with an unsatisfactory annual performance review, or those receiving a first year promotion award are ineligible.

42.40.2 To compute the value of a step award:

42.40.2.1 Compute the total salary mass (TSM) on September 2nd of the prior year. Increase by the amount of any GW1 (including ESD increases) that will take place prior to September 1st of the current year.
## Salary Scales, July 1, 2017

<table>
<thead>
<tr>
<th>Rank</th>
<th>Floor</th>
<th>Breakpoint</th>
<th>Ceiling</th>
</tr>
</thead>
<tbody>
<tr>
<td>Laboratory Instructor</td>
<td>$61,110</td>
<td>None</td>
<td>$84,026</td>
</tr>
<tr>
<td>Lecturer</td>
<td>$76,388</td>
<td>$89,119</td>
<td>$96,758</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>$86,573</td>
<td>$112,035</td>
<td>$122,220</td>
</tr>
<tr>
<td>University Lecturer</td>
<td>$101,850</td>
<td>$122,220</td>
<td>$132,405</td>
</tr>
<tr>
<td>Instructor</td>
<td>$76,388</td>
<td>None</td>
<td>$81,480</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>$81,480</td>
<td>$104,396</td>
<td>$112,035</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>$101,850</td>
<td>$122,220</td>
<td>$132,405</td>
</tr>
<tr>
<td>Professor</td>
<td>$117,128</td>
<td>$142,590</td>
<td>$154,812</td>
</tr>
<tr>
<td>Librarian/Archivist I</td>
<td>$66,203</td>
<td>None</td>
<td>$71,295</td>
</tr>
<tr>
<td>Librarian/Archivist II</td>
<td>$71,295</td>
<td>None</td>
<td>$86,573</td>
</tr>
<tr>
<td>Librarian/Archivist III</td>
<td>$81,480</td>
<td>$106,943</td>
<td>$117,128</td>
</tr>
<tr>
<td>Librarian/Archivist IV</td>
<td>$91,665</td>
<td>$112,035</td>
<td>$122,220</td>
</tr>
<tr>
<td>Division Head</td>
<td>$96,758</td>
<td>$117,128</td>
<td>$127,313</td>
</tr>
</tbody>
</table>