



Renewal, Tenure and Promotion Workshop For Tenure-Track, Tenured and Continuing Adjunct Faculty & Continuing Track and Continuing Librarians and Archivists

Thursday, June 26, 2014, 9:30-11:30am in Mac Corry D209

AGENDA

1. Welcome and Introductions

- Workshop objectives
- Summary of relevant changes in the current agreement (**Appendix A**)

2. Preparations for Personnel Processes

- Procedural principles (**Appendix B**)
- Timelines (**Appendix C**)
- Eligibility issues
- Referees:
 - Selection of referee lists
 - What referees are responsible for
- Differences between renewal, tenure and promotion
- Teaching dossiers
- Adding material to the file
- Responding to positive recommendations
- Confidentiality of process

3. Resolving Problems

- Role of grievance officer at each stage of process
- Role of RTP committees
- Responding to negative recommendations
- Responding to emerging negative consensus

4. Questions and Answers

5. Any Other Issues

- Relevant criteria and information for Library Promotion

PLEASE READ PRIOR TO THE WORKSHOP:

Article 30 (Faculty) *OR* Article 31(Librarians/Archivists) in the Current Collective Agreement 2011-15

at: <http://www.queensu.ca/provost/faculty/facultyrelations/qufa/collectiveagreement/WEBSITECAWITHLINKSSept252012.pdf>

Know Your CA Renewal, Tenure and Promotion Processes from the Perspective of the Applicant (Articles 30 & 31): http://qufa.ca/publications/know_your_ca_2011/KYCA-1-RTP_Applicant.pdf

QUFA Resource Persons: Constance Adamson, QUFA JCAA Co-Chair (adamsonc@queensu.ca), Susan Fitzgibbon, QUFA Staff (fitzgibb@queensu.ca), and Ramneek Pooni, Grievance Officer (poonir@queensu.ca)

APPENDIX A

Summary of Relevant Changes to RTP Processes in the Current Agreement (2011-15) from the Previous Agreement (2008-11)

Renewal, Tenure & Promotion Committee:

Article 30.2.5

- Student Members of the Committee shall familiarize themselves with Article 18 (Conflict of Interest/Conflict of Commitment);
- Members of the unit who intend to apply for Renewal, Tenure or Promotion shall not stand for election;

Article 30.2.7

- The disclosure of potential violations of confidentiality or conflict of interest/conflict of commitment may be disclosed to the QUFA Grievance Officer or the Faculty Relations Office.

Article 30.2.4

- RTP Committee members excluded for reasons of conflict or interest/conflict of commitment or because there is a reasonable apprehension of bias shall resign from the Committee and shall be replaced if the process of reviewing the applications has not yet commenced.

Eligibility for Renewal and Tenure:

Article 30.5.6 & 30.5.7

- A Member who has taken a Sick Leave may elect to have the Renewal or Tenure decision postponed, but now the Sick Leave must have lasted at least 60 days. If the Sick Leave was less than 60 days, the Member must demonstrate that the period of Sick Leave had a substantial impact on their research capability).

Criteria for Renewal and Tenure:

Article 30.6.6

- The Member must show that the evidence favours granting promotion to Professor.

Notification

Article 30.7.1

- The notice of the August 15 deadline for RTP applications is now in the electronic publication of Queen's announcements *For the Record*.
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Article 30.7.2 (c)

- The Unit Head must draw notified Members attention to Appendix O (Aboriginal Participation in Renewal, Tenure...). Unit Heads are no longer required to follow up on communications until he/she receives an answer for a Member, only make reasonable efforts to ensure a Member has received timely notice.

Article 30.7.3

- Member must now inform the Unit Head if he/she wishes to invoke Appendix O when they indicated intent to apply for Renewal, Tenure or Promotion.

Article 30.7.4

- The Unit Head must notify the RTP Committee if the Member has invoked the provisions of Appendix O.

Referees

Article 30.8.9

- If the Committee cannot choose at least half the number of required referees from the Member's list, the Member is no longer required to meet with the Committee. The Committee is required to ask the Member to submit additional prospective referee names.

Article 30.8.12

- If a selected referee does not submit a letter, the Unit Head solicits a letter from another referee on the proposed list of referees.

Material from the Official File

Article 30.12.1

- Article 28.6.2 is now referenced, specifically excluding Annual Performance Reviews from the RTP file. This Article stipulates that you are to be given the material from your Official File and be given a chance to respond to it. Please check to make sure that the Annual Performance Reviews are not included. You DO NOT have the option of including them.

Renewal/Tenure/promotion File

Article 30.13.5

- The Dean may now add material to the file if it is sufficiently significant that it might affect the recommendation or decision.

Article 30.13.6

- If, at any stage of the RTP process, the Member submits material or a response which includes an interpretation of the Collective Agreement or past practice, the Committee/Head/Dean/Principal shall deliver a copy to the Faculty Relations Office before considering the file. The Faculty Relations Office shall have up to 10 working days to submit a response to the CA/past practice interpretation and submit a response to be placed in the RTP file.

Recommendations

Article 30.14.1

- The additional constraint of “applicable criteria” has been added for recommendations.

Article 30.14.5

- The Committee is now required to clearly indicate whether they support or oppose the granting of Renewal, Tenure or Promotion.
- The requirement that the Committee’s recommendation be forwarded to the Head (or Dean in non-departmentalized Faculties) and the Member at the same time has been dropped.

Article 30.14.6

- By the December 15 or January 15 (non-departmentalized Faculties) deadline for forwarding the file and written recommendation to the next level, the Committee Chair shall forward to the Member the written recommendation of the Committee with its reasons and any dissenting views.

Article 30.14.7 (a), (b), (c) & (f) (departmentalized Faculties only)

- The 7 working days for the Member to respond to the Committee's recommendation has been changed to 7 days. (Probably an editing error, but a change nonetheless)
- The Head must now clearly indicate whether he/she supports or opposes the granting of Renewal, Tenure or Promotion.
- The Head's recommendation no longer has to be forwarded to the Dean and Member at the same time. The Member shall receive the Head's written recommendation with reasons by January 15.

Article 30.14.12

- The requirement that the Dean's recommendation be forwarded to the Principal and the Member at the same time has been dropped and replaced with a March 1 deadline for the Member to receive the written recommendation of the Dean.

Article 30.15.1

- The Principal now has to give a Member 10 working days to respond to the Dean's recommendation, instead of 10 days.

Article 30.15.7

- Successful RTP applications will be announced in *For the Record*.

These six provisions are relevant to Librarians and Archivists who use Article 31 instead of Article 30 for their RTP processes.

Renewal, Continuing Appointment and Promotion Committee

Article 31.2.7

- Committee Members may disclose potential violations of the Agreement to the QUFA Grievance Officer or the Faculty Relations Office.

Eligibility

Article 31.4.7 & 31.4.8

- A Member who has taken a Sick Leave may elect to have the Renewal or Continuing-track decision postponed only if the Sick Leave was 60 days or longer.

Criteria

Article 31.5.6

- The Member must show that the evidence favours granting promotion to Librarian/Archivist.

Notification

Article 31.6.1

- By May 1, notification of the August 15 deadline for Renewal, Continuing appointments or Promotion applications must be placed in *For the Record*.

Articles 31.6.2 (c), 31.6.3 and 31.6.4

- The notification of Members eligible for Renewal or Continuing appointment by the University Librarian/Archivist must draw the Members' attention to Appendix O, Members must indicate they wish to invoke Appendix O, and the Committee must be advised that a Member has invoked the provisions of Appendix O.

Referees

Article 31.7.9

- If the Committee cannot choose at least half the number of required referees from the Member's list, the Member is no longer required to meet with the Committee. The Committee is required to ask the Member to submit additional prospective referee names.

Article 31.7.12

- If a selected referee does not submit a letter, the Unit Head solicits a letter from another referee on the proposed list of referees.

Article 31.11.5

- The University Librarian/Archivist may now add material to the file if it is sufficiently significant that it might affect the recommendation or decision.

Renewal/Continuing appointment/Promotion File

Article 31.11.6

- If, at any stage of the Renewal/Continuing Appointment/Promotion process, the Member submits material or a response which includes an interpretation of the Collective Agreement or past practice, the Committee/Associate University Librarian/ University Librarian or University Archivist/Principal shall deliver a copy to the Faculty Relations Office before considering the file. The Faculty Relations Office shall have up to 10 working days to submit a response to the CA/past practice interpretation and submit a response to be placed in the file.

Recommendations

Article 31.12.1 & 31.13.2

- The additional constraint of "applicable criteria" has been added for recommendations and

the Principal's decision.

Articles 31.12.4, 31.12.7 (e), & 31.12.12

- Recommendations from Committee/Associate University Librarian/University Librarian to the next level no longer have to be forwarded to that level and the Member at the same time, only by the deadline for submitting to the next level.

Articles 31.12.4 & 31.12.7

- The Committee and the Associate University librarian shall clearly indicate whether they support or oppose the granting of Renewal, Continuing appointment or Promotion.

Article 31.13.6

- Successful applications to be announced in *For the Record*.

Appendix B

Procedural Principles

The following principles underlie the procedural rules set out in our Collective Agreement:

1. **Notice of Eligibility.** There is an obligation on the part of the University to inform Members eligible for Renewal or Tenure/Promotion to Associate (i.e. decisions that determine whether you will continue to be employed by Queen's) that the contract is about to expire and that you may apply for Renewal or Tenure. The University must receive a response one way or other from each Member and must persist in the notification process until it does so.
2. **Dates for Submitting Materials.** Most of the deadlines in the former and current agreement are the same. Please note however earlier dates in the three initial RTP deadlines in the current agreement than was the case in the past: July 15 for the talk with your Head about the application and choice of referees (*Article 30.8.4*); no later than July 31 for submission of the referees list to the RTP Committee (*Article 30.8.7*); and August 15 for the submission of the Member's Application file (*Article 30.9*). The remainder of the deadlines are unaffected.
3. **Recommendations. Only the decision makers (the Personnel Committee, the Head, the Deans, the Principal) see recommendations at each stage of the process. Colleagues within the department do not,** because there is to be no first order evaluation based on other people's evaluations.
4. **Consideration of the File. All materials must be considered together.** That is, referees and department members (colleagues) look at a complete file of publications and related materials prepared by the Member. Nothing new may be added unless it is so significant that it might alter the decision. The Personnel Committee must look at a complete file of letters and

publications, teaching dossier, etc.

5. **Member's Right to Comment at the end of each stage.** At every stage of the process, the Member has an opportunity to comment on recommendations from that phase of the decision-making. No recommendation (from Personnel Committee, or Head, or Dean) can be read separately from the Member's response to it.

If you have any questions about procedures at any time, do not hesitate to contact the QUFA Office for assistance. Strict confidentiality about your situation is assured.

Appendix C

2011-15 Timelines for Faculty, Librarians and Archivists Renewal, Tenure or Continuing Appointment, and Promotion

The following time lines are specifically included or implied in the Collective Agreement and as such represent a binding agreement between the Parties (QUFA and Queen's University). The Parties recognize that some of these time lines are tight, and so applicants are, for example, encouraged to hand in their lists of referees and their applications as soon as they are ready. But it is also recognized that Applicants are not obliged to comply with administrative pressure to meet earlier deadlines not specifically included in the Agreement. Members may, for example, wish to use the summer months up to the final deadline of August 15th to finish research or creative work in progress, and to complete their file.

Note: 'Unit Head' refers to the Head, Chair, or Director of a Department or School in a departmentalized Faculty; the Dean of a non-departmentalized Faculty or School, the University Librarian or University Archivist. (Article 2) 'The Committee' for Renewal, Tenure and promotion for Tenure-track and Tenured Faculty members refers to the standing Renewal, Tenure and Promotion Committee. (Article 30.2.1) 'The Committee' for Renewal, Continuing Appointment and Promotion for Librarian and Archivist Members refers to a standing Renewal/Continuing appointment/Promotion Committee. (Article 31.2.1)

By May 1: The Library and Archives shall each elect a standing Renewal/Continuing appointment/Promotion Committee. (Article 31.2.1)

By May 1: Each Faculty Unit shall elect a standing Renewal/Tenure/Promotion Committee. The Committee shall elect its own Chair who shall be a voting member of the Committee. (Article 30.2.1)

By May 1: A notice shall be placed in the For the Record by the Office of the Provost and Vice-Principal (Academic) announcing a August 15 deadline for applications for Renewal,

Continuing appointment or Promotion and referring to the procedures in this Article.
(Article 30.7.1)

By May 15: The Faculty Unit Head shall notify all Members of the Unit of Promotion deadlines for the coming year, Provide written notification of the notice of the Provost, and notify all Members eligible (Article 30.5, Eligibility) for Renewal or Tenure in writing of their eligibility. If the Unit Head uses e-mail to notify the Member, it shall be followed up by a letter. In addition, the Unit Head must continue to follow up his/her communications if he/she fails to receive a response from the Member concerning his/her application.
(Article 30.7.1)

By May 15: The University Librarian/University Archivist shall notify all Members of the Unit of the Promotion deadlines for the coming year and notify all Members eligible for Renewal or Continuing appointments in writing of their eligibility. If the University Librarian/University Archivist uses e-mail to notify the Member, it shall be followed up by a letter. In addition, the University Librarian/University Archivist must continue to follow up his/her communications if he/she fails to receive a response from the Member concerning his/her application. (Article 31.6.1)

By July 1: The Tenure-Track and Tenured Faculty Members must notify the Unit Head of her/his intent to apply for Renewal, Tenure or Promotion. (Article 30.7.3)

By July 1: The Librarian/Archivist Members must notify the University Librarian/University Archivist of her/his intention to apply for Renewal, Continuing appointment or Promotion.
(Article 31.6.3)

By July 15: Within a reasonable time of receiving notification of the Faculty Member's application and no later than this date, the Unit Head Dean shall arrange a meeting with the Member to give advice on the preparation of the application and to discuss the suitability of potential referees. (Article 30.8.5)

By July 15: Within a reasonable time of receiving notification of the Member's application, and no later than this date, the University Librarian/Associate University Librarian/University Archivist shall arrange a meeting with the Member to give advice on the preparation of the application and to discuss the suitability of potential referees. (Article 31.7.5)

By July 31: The Faculty Member will provide a list of prospective referees to the Committee by this date. (Article 30.8.6)

By July 31: The Librarian/Archivist member will provide a list of referees to the Committee by this date. (Article 31.7.6)

By Aug 15: The Faculty Member shall provide the following materials to the Committee: an up-

to-date curriculum vitae; a separate summary of teaching experience for faculty Members (which may be in the form of a teaching dossier and which may include surveys prepared pursuant to Article 29.4); copies (if feasible) of all relevant scholarly work (or at least citations for such work) and a description of any work in progress; and a summary of the Member's contributions to the Department, Unit or Faculty and the wider University community, and where appropriate, to the discipline or profession. The Unit shall reimburse the Member for the costs of the preparation of duplicate copies on a receipted basis. (Article 30.9.1)

By Aug 15: The Librarian/Archivist Member shall provide the following materials to the Committee: an up-to-date curriculum vitae; copies (if feasible) of all relevant scholarly work (or at least citations for such work) and a description of any work in progress; and a summary of the Member's contributions to the Department, Unit or Faculty and wider University community, and where appropriate, to the discipline or profession. (Article 31.8.1)

By Sept 15: The Faculty Member's Application File as described in Article 30.9.1 and, if the Member permits, any other material submitted for this purpose shall be made available for review within the Unit. (Article 30.11.1)

By Sept 15: The Librarian/Archivist Member's Application File as described in Article 31.8.1 and, if the Member permits, any other material submitted for this purpose shall be made available for review within the Unit. (Article 31.9.1)

By Oct 15: The Unit Head shall provide to the Member information from the Member's Official File that is relevant to the application, subject to Article 28.6.2. The University Surveys of Student Assessment of Teaching (USATs) shall be included in the Renewal/Tenure/Promotion File in any application for Renewal, Tenure or Promotion. The Member shall have ten (10) working days to respond to any material included from the Member's Official File and may provide additional relevant materials as well as a written response. The Unit Head shall forward to the Committee the material specified in this Article along with the Member's response. (Article 30.12.1)

By Oct 15: The University Librarian/Associate University Librarian/University Archivist shall provide to the Member information from the Member's Official File that is relevant to the application. The Member shall have ten (10) working days to respond to any material included from the Member's Official File and may provide additional relevant materials as well as a written response. (Article 31.10.1) The Unit Head shall forward to the Committee the material specified in this Article along with the Member's response. (Article 30.10.1)

QUFA strongly recommends that applicants prepare this, or any other similar response required during the process, with the confidential assistance of the QUFA Grievance Officer.

By Nov 15: The Faculty Renewal/Tenure/Promotion File shall be available to Committee Members. The Committee shall meet to assess all materials in the Renewal/Tenure/Promotion file. All Committee members shall review the Renewal/Tenure/Promotion File in order to participate in the formulation of the recommendation. (Article 30.14.3)

By Nov 15: The Librarian/Archivist Renewal/Continuing appointment/Promotion File shall be available to all Committee Members. The Committee shall meet to assess all materials in the Renewal/Continuing appointment/Promotion File. All Committee members shall review the Renewal/Continuing appointment/Promotion File in order to participate in the formulation of the recommendation. (Article 31.12.2)

By Dec 15: In departmentalized Faculties the Committee Chair shall forward to the Member the written recommendation of the Committee with its reasons and dissenting views and will submit to the Department Head the Renewal/Tenure/Promotion File and the written recommendation of the Committee with its reasons and any dissenting view(s). (Article 30.14.6) (also see Article 30.14.7)

By Dec 15: For librarian Members, the Committee Chair shall forward to the Member the written recommendation of the Committee with its reasons and dissenting views and will submit to the Associate University Librarian/University Archivist the Renewal/Continuing appointment/Promotion file; and the written recommendation of the Committee with its reasons and any dissenting view(s). (Article 31.12.5)

By Jan 15: In non-departmentalized Faculties, the Committee Chair shall forward to the Member the written recommendation of the Committee with its reasons and dissenting views and will submit to the Dean the Renewal/Tenure/Promotion File and the written recommendation of the Committee with its reasons and any dissenting view(s). (Article 30.14.6)

By Jan 15: The Department Head Shall forward to the Member and shall submit to the Dean the Renewal/Tenure/Promotion file, the written recommendation of the Committee with its reasons and any dissenting view(s) and the Member's response to the Committee's recommendation (if any) and the Department Head's written recommendation and reasons. (Article 30.14.7f)

By Jan 15: The Associate University Librarian shall forward to the Member and will submit to the University Librarian the Renewal/Continuing appointment/Promotion File, the written recommendation of the Committee with its reasons and any dissenting view(s), and the Member's response to the Committee's recommendation (if any); and the Associate University Librarian's written recommendation and reasons. (Article 31.12.7 (f)) (also see Article 31.12.8)

By Jan 15: For Archivist Members, the Committee Chair shall forward to the Member the

written recommendation of the Committee with its reasons and dissenting views and will submit to the University Archivist the Renewal/Continuing appointment/Promotion File; and the written recommendation of the Committee with its reasons and any dissenting view(s). (Article 31.12.6) (Also see Article 31.12.7 (a))

By Mar 1: The Dean shall forward to the Member the written recommendation of the Dean and will submit to the Principal the Renewal/Tenure/Promotion File; the written recommendation of the Committee with its reasons and any dissenting view(s), and the Member's response to the Committee's recommendation (if any); if applicable, the Department Head's written recommendation and reasons and the Member's response to the Department Head's recommendation (if any); and the Dean's written recommendation and reasons. (Article 30.14.13)

By Mar 1: The University Librarian/Archivist shall forward to the Member the written recommendation of the University Librarian Archivist and submit to the Principal the Renewal/Continuing appointment/Promotion file including the written recommendation of the Committee with its reasons and any dissenting views and the Member's response to the Committee's recommendations (if any); if applicable, the Associate Librarian's written recommendation and reasons and the Member's response; and the University Librarian's/Archivist's written recommendation and reasons.

By April 1: The Principal shall grant or deny Renewal and shall inform the Faculty Member of the decision in writing, including reasons for any denial by April 1. (Article 30.15.4)

By April 1: The Principal shall grant or deny Renewal or Promotion to Assistant Librarian/Assistant Archivist and shall inform the Librarian/Archivist Member of the decision in writing, including reasons for any denial by April 1. (Article 31.13.3)

By April 15: The Principal shall grant or deny Tenure or Promotion to Associate Professor and shall inform the Faculty Member of the decision in writing, including reasons for any denial by April 15. (Article 30.15.4)

By April 15: The Principal shall grant or deny Continuing Appointment or Promotion to Associate Librarian/Associate Archivist and shall inform the Librarian/Archivist Member of the decision in writing, including reasons for any denial by April 15. (Article 31.13.3)

By May 15: The Principal shall grant or deny Promotion to Professor and shall inform the Faculty Member of the decision in writing, including reasons for any denial by May 15. (Article 30.15.4)

By May 15: The Principal shall grant or deny Promotion to Librarian/Archivist and shall inform the Librarian/Archivist member of the decision in writing, including reasons for any denial by May 15. (Article 31.13.3)

PLEASE NOTE:

The information contained in this workshop resource is intended only as a guide. Please consult the Collective Agreement for full details. In the case of a discrepancy, the Collective Agreement takes precedence.