October 4, 2011

TO:         Faculty Council
FROM:        Jeffery Taylor, Dean of Arts

SUBJECT: Revision to Tenure & Promotions Criteria and Procedures document

The changes identified by track changes in the “Tenure in the Faculty of Arts: Procedures and Criteria” and “Promotions in the Faculty of Arts: Procedures and Criteria” documents were made in April 2011 (with the exception of the deletion of the footnote on the first page of the “Tenure in the Faculty of Arts: Procedures and Criteria” document). Richard Sigurdson sent the revised documents via email to department heads in May 2011.

Changes to the promotion and tenure procedures are within the purview of the Dean according to Article 19.D.1.4 and Article 20.A.1.3 of the University of Manitoba-University of Manitoba Faculty Association Collective Agreement. It is past practice in the Faculty of Arts, however, for changes to the “Tenure in the Faculty of Arts: Procedures and Criteria” and “Promotions in the Faculty of Arts: Procedures and Criteria” documents to be approved by Faculty Council. Hence, the changes made to the documents in April 2011 are presented to Faculty Council for approval. In addition, the deletion of the footnote on the first page of the tenure document is presented for approval.
PROMOTIONS IN THE FACULTY OF ARTS: PROCEDURES AND CRITERIA
Approved by Arts Faculty Council: December 16, 1983
Amended by Arts Faculty Council: September 24, 1984; June 25, 1996; May 12, 1999; February 21, 2000;
November 13, 2001

This document summarizes the procedures and criteria related to promotions within the Faculty of Arts. The
procedures and criteria reflect the relevant articles of the Collective Agreement between the University of Manitoba
and UMFA, as well as the policies and practices followed in the Faculty of Arts over the last few years. Anyone
having questions about the meaning of this statement should contact his/her Head; if it is a matter of whether this
statement contains an incorrect interpretation of the Collective Agreement, the Dean should be informed of this
immediately. Anyone who would like to see future changes made with respect to the procedures and criteria should
communicate this to his/her Head and, in cases where the change would be to a provision derived from the
Collective Agreement, to UMFA.

1. Effective dates and deadlines

In accordance with the Collective Agreement, a promotion takes effect on the date it is granted by the Board of
Governors. In the Faculty of Arts, the normal deadline for the receipt of promotion applications and accompanying
documentation will be September 15th. The Department Head shall be responsible for setting any internal
departmental deadlines that may be necessary to ensure that all material reaches the Dean's office by the deadline
date.

All promotion materials submitted by the candidate should be sent to the Dean by or through the Department Head.
After September 15th, no supporting documentation will be accepted unless it is requested by the Dean or the
Promotion Committee, or except pursuant to 3(b) (viii) post.

In accordance with the Collective Agreement, all promotion proceedings shall normally be completed by April 30th.

2. Promotion Committees

a. The Dean shall be responsible for establishing a faculty-based nucleus Promotion Committee to which shall be
added Department representatives for each Department. Where possible, the majority of the voting members
of the Promotion Committee are to be persons from the candidate's Department who have the expertise to
judge the achievements of the candidate. Department representatives shall be selected by, and if possible from,
the Department in accordance with a procedure determined by all full-time and part-time faculty members.
However, that procedure cannot be adopted if it were to allow a person who is to receive a promotion
recommendation from the Committee to choose directly any member of the Committee.

Gender parity will be sought on all promotion committees. Where gender parity is not feasible, there shall be
at least one (1) member of each gender on each promotion committee.

b. There shall be a Promotion Committee for each Department, and preferably one for each rank*, composed of
three (3) representatives selected by, but not necessarily from, the academic staff of faculty rank in the
Department, and two (2) nominees of the Dean from the nucleus Promotion Committee. At least two (2) of the
departmental representatives and at least one (1) of the Dean's nominees shall be at or above the rank applied
for.

*Permanent Instructors can evaluate promotion applications only of those in Instructor positions

In providing for the consideration of a candidate who is from a very small Department, or who is the Head or
Acting Head of the Department, or who holds a cross-appointment with another program, the Dean and/or the
Department Council shall follow procedures as similar to those laid down here as is practical.

The Head of the candidate's Department shall serve on the Promotion Committee in a non-voting capacity.
The Dean or his/her designate shall be the non-voting Chairperson of each Promotion Committee.

c. Prior to the first meeting of a Promotion Committee, the Dean shall make known the names of those faculty

members scheduled to be considered, and invite written submissions to the Promotion Committee from faculty members on the candidate’s teaching and scholarship and from students on the candidate’s teaching. Also prior to the first meeting, the Chairperson shall write to all members of the Promotion Committee (with a copy to each person scheduled to be considered by the Promotion Committee), informing them of the time and place of the first meeting, and asking them to study thoroughly (and keep confidential) the material provided to them by the Head, the candidates, and by faculty members and students. The candidate is responsible for providing sufficient material evidence to support his/her case for a positive promotion recommendation at the time that he/she submits the duly completed Recommendation for Promotion Form (or at a later date if that is agreed to by the Head). The Head is responsible for duplicating to ensure that all materials supplied by the candidate and for transmitting all such materials are duplicated and forwarded to the Committee Chairperson.

3. Procedures

a. Department-level procedures

i. Initiating a promotion consideration

The Collective Agreement states that the matter of promotion shall be discussed by the Department Head and the faculty member prior to the commencement of promotion proceedings. A promotion consideration may be initiated either by the Department Head requesting a duly completed Recommendation for Promotion Form from the faculty member, or by the faculty member submitting a duly completed Recommendation for Promotion Form to his/her Head. The Head shall transmit-forward this form to the Dean.

It shall be the faculty member's responsibility to provide, at the time he/she submits the duly completed Recommendation for Promotion Form (or at a later date, if that is agreed to by the Head), any supporting documentary evidence with respect to teaching, research, etc., that he/she wishes to be taken into consideration. Faculty members are encouraged to prepare a "Teaching Dossier" which may include includes the faculty member's orientation toward teaching, teaching responsibilities, course syllabi, assignments and evaluation instruments, summaries of student evaluations, (copies of SEEQ report summary sheets), and evidence of other teaching activities and accomplishments. Faculty members are also encouraged to submit a parallel "Research Dossier" outlining the faculty member's research agenda, current research, scholarly and/or artistic activities, major publications and/or performances, and any other information with respect to the faculty member's current or future research and scholarly activities. Faculty members should also submit a "Service Dossier" outlining the faculty member's service agenda, current involvement with local and community associations and outreach activities, and any other information with respect to the faculty member's current or future service-related activities. The Head is not free to prevent the case from going forward to the Dean (nor is the Dean free to prevent it from going forward to the Vice-President) so long as the faculty member continues to want it to proceed; the faculty member, however, is free to have the consideration stopped at any point by submitting to the Dean or his/her designate (Chairperson) a written request to that effect.

b. Faculty-level procedures

i. In the case of an applicant who is also a member of one of the Colleges, the Dean shall provide the

Information and resources on the preparation of a "Teaching Dossier" are available from University
Provost or the Dean of Studies with an opportunity to submit any relevant information. Any material so provided shall be considered by the Promotion Committee.

ii. Before making a recommendation regarding promotion, each Promotion Committee shall seek the advice of members of the candidate’s Department and other faculty members in the Faculty. The written opinions from faculty members on the candidate’s teaching and scholarship, and from students on the candidate’s teaching shall be solicited. This soliciting is to be done by the Dean or his/her designate. Where appropriate this information shall be sought through the Department Councils of any Department in which the candidate teaches. The Promotion Committee may also solicit written opinions from outside experts in the candidate’s field on the candidate’s teaching and scholarship.

iii. The non-voting Chairperson of the Promotion Committee (i.e., the Dean or his/her designate) is responsible for ensuring that the procedures carried out by the Committee reflect due process, and are in keeping with the appropriate provisions of the Collective Agreement and the criteria and weightings of the Faculty, so that a just and defensible recommendation can be achieved.

iv. Outside Evaluations: In the case of each candidate being considered for a possible promotion to Professor, reports shall be obtained from at least two outside evaluators, who shall be established scholars (normally themselves at the rank of Professor) whom the Dean considers competent to make the required judgments. These scholars shall be asked for a confidential evaluation of the candidate’s complete promotion file, including any teaching and research dossiers. The external evaluators shall be asked whether the candidate’s record on teaching is sufficiently meritorious, and whether his/her publications are sufficiently distinguished, both in quantity and quality, to justify promotion to Professor.

In all communications with the outside evaluators, there is to be no hint of whether or not the Dean or Head is already inclined to be favourably disposed with respect to a possible promotion.

The Dean shall draw up, in consultation with the Head, a list of outside evaluators. This list shall be shown to the candidate who may request the deletion of any name for cause. The Dean shall select the outside evaluators and carry on all correspondence with them.

Both the Head and the candidate will receive a copy of each evaluator’s report as soon as is practical; but unless the evaluator has agreed to give up anonymity, the candidate will not be told the name of the evaluator, and will receive a copy of the report from which any clear means of identifying the author have been deleted.

v. The candidate being considered for promotion shall have an opportunity to meet at least once with the Promotion Committee, and shall be informed by the Dean or his/her designate before the Promotion Committee begins consideration of his/her application of the nature of all the documents and other evidence the Promotion Committee shall consider.

vi. If a Promotion Committee cannot make a positive recommendation as a result of its deliberations, the Chairperson of the Promotion Committee shall so inform the candidate in writing. The written notification shall indicate in general terms the area(s) of concern that the Committee will wish to discuss, and establish a date for a meeting between the candidate and the Chairperson at which time the Chairperson shall give the candidate an oral account of the nature of any reservations or negative considerations that the Promotion Committee may have. The written notification shall also stipulate that at the meeting between the Chairperson and the candidate, a date will be set for the candidate to meet with the Committee to speak to these concerns.

vii. The Chairperson in consultation with the faculty member shall establish the date for a subsequent meeting with the Promotion Committee where the candidate shall be given the opportunity to speak to these concerns.

viii. A reasonable time will be allowed the candidate to seek advice, solicit opinion, and provide further documentation in order to prepare for such a meeting.
ix. The Promotion Committee shall evaluate the application and supporting evidence and shall make its recommendation to the Dean. The Chairperson shall report in writing all recommendations, together with the specific reasons therefore related to the criteria and weightings established by the Faculty of Arts, to the faculty member, Department Head and the Dean.

x. Following receipt of the Promotion Committee's report, the Head of the candidate's Department shall make a recommendation on promotion to the Dean for each faculty member who has submitted a duly completed Recommendation for Promotion Form and has not subsequently withdrawn it.

The Head, after considering the Recommendation for Promotion Form and supporting material submitted by the candidate, shall submit his/her recommendation to the Dean on the final page of the Recommendation for Promotion Form. The recommendation of the Head shall be in writing and accompanied by the specific reasons therefore related to the criteria and weightings established by the Faculty of Arts. The Head shall deliver a copy of the recommendation and reasons to the faculty member.

The Dean shall transmit the Promotion Committee's recommendation, his/her own recommendation, and that of the Department Head to the Vice-President (Academic). The recommendation of the Dean shall be in writing, and accompanied by the specific reasons therefore related to the criteria and weightings established by the Faculty of Arts. The Dean shall deliver a copy of the recommendation and reasons to the faculty member.

xi. If the recommendation of the Department Head or the Dean is different from that of the Promotion Committee then he/she shall advise the Promotion Committee in writing.

xii. If the candidate is not to be recommended for promotion, the President shall notify him/her in writing of this fact, together with the specific reasons, within forty (40) working days of the date of the recommendation of the Promotion Committee to the Dean as provided in s.20.A.3.8 of the Collective Agreement and shall at the same time advise him/her of the right to appeal in accordance with s.20.D of the Collective Agreement.

xiii. The candidate shall be notified of the status of a recommendation regarding his/her promotion to the Board of Governors not later than ten (10) working days following the meeting at which the recommendation was considered.

4. Conditions for Application for Promotion and Criteria for Evaluation

a. According to the Collective Agreement, promotions from one rank to another shall be based upon the contribution that the faculty member has made to his/her discipline and to his/her Department, Faculty and the University at his/her current rank over a period of time, taking into account his/her academic attributes and his/her performance of assigned and other duties. The duties specifically assigned to the faculty member during the period under consideration must be taken into account in the application of the criteria and weightings.

b. Academic attributes (not necessarily in order of importance) to be considered in determining the suitability of a faculty member for promotion normally shall include, but are not limited to:

i. **Research, Scholarly Work and Other Creative Activities**

Factors that may be considered include: the publication of books, monographs, and contributions to edited books; contributions to reference works; papers in both refereed and non-refereed journals; technical reports; papers delivered at professional meetings; participation in panels; unpublished research including current work in progress both supported and non-supported; editorial and refereeing duties; creative works and performances; non-funded, grant, and/or contract-based research; commissioned works; and scholarship as evidenced by the candidate's depth and breadth of knowledge and general contributions to the research life of the University. Promotion Committees shall consider any published
and unpublished works submitted by the candidate.

ii. Teaching
Factors that may be considered include: course work and all related activities; supervision of the work of honours and graduate students; participation in seminars and colloquia; innovative methods in teaching and other contributions to the teaching activities of the University. The written opinions of students and/or fellow faculty members shall normally be sought. The measure of teaching performance shall include Senate-approved student evaluations.

iii. Service
Factors that may be considered include: participation in University, faculty, Departmental and staff committees; counselling students; service in professional organizations (including UMFA and CAUT); general administrative duties; community service where the individual has made an essentially non-remunerative contribution by virtue of special academic competence. Service includes internal and external activities related to the research and teaching function of the University.

Candidates for promotion will also be assessed in relation to their service to the University and to the community. The service category is of relatively less importance than those of teaching and research/artistic activity. Nevertheless, a Promotion Committee may take into account service to the University and the community as a supplement to performance in these other areas. Satisfactory performance of routine administrative duties (on department/program committees, for example) is expected. Apart from the obvious contribution to the University from good teaching and research, a sustained commitment to the welfare of the University, as evidenced by the candidate's having undertaken special assignments or administrative appointments, or other activities which contribute significantly to the welfare of the University as an institution, may be taken into account, provided that these are fully documented. Similarly, only a sustained record of significant service to the wider community, related to the candidate's discipline/field and which has clearly had the effect of tangibly enhancing the relationship between the University and the community may be taken into account. Such activities must be fully documented. Activities which are simply part of the University's teaching function will not be considered in the category of service to the community.

c. A description of the ranks and the associated attributes and qualifications follows.

Promotion from Instructor I to Instructor II: To be eligible for promotion to the rank of Instructor II, an individual must possess necessary academic qualifications, demonstrated teaching ability which is rated as "average" or better, based on student evaluations, peer evaluation or other evidence, (where applicable) competence in language instruction, student counselling, creative works, and/or service. Normally, he/she should hold a completed Master's degree or its equivalent. Further, an individual normally must have at least five years of experience in a university or equivalent position.

Promotion from Instructor II to Senior Instructor: To be eligible for promotion to the rank of Senior Instructor, an individual must possess necessary academic qualifications, demonstrated teaching ability which is rated as "average" or better, based on student evaluations, peer evaluation or other evidence, (where applicable) competence in language instruction, student counselling, creative works, and/or service. Normally, he/she should hold a completed Ph.D. degree or its equivalent. Promotion to the rank of Senior Instructor is normally awarded to individuals who are excellent teachers, and who have ten or more years of experience in a university or equivalent position.

Promotion from Lecturer to Assistant Professor: To be eligible for promotion to the rank of Assistant Professor, an individual must ordinarily possess, the terminal degree and/or professional registration or certification appropriate to his/her field of study. He/she must have demonstrated teaching ability which is rated as "average" or better, based upon student evaluations, peer evaluation, or other evidence. Success in teaching is evidenced by the ability to provide instruction at the various levels in his/her discipline. The potential for competent performance in research/artistic activity must be evident. This may take the form of articles already published in reputable scholarly journals, invited papers delivered to academic or professional
associations, peer-evaluated unpublished research deemed to be of publishable quality, and other scholarly activities. Current unpublished research work shall be taken into consideration, but shall be given a lesser weighting than publications. For artistic and/or creative activity, the candidate must have shown potential equivalent to that described above mutatis mutandis. Significant activity related to service to the University, and non-remunerative service to the community, will also be taken into account in individual cases.

**Promotion from Assistant Professor to Associate Professor:** Promotion to the rank of Associate Professor normally requires evidence of successful teaching and scholarly activity beyond that expected of an Assistant Professor. Promotion to this rank is not automatic or based on years of service.

To be eligible for appointment to the rank of Associate Professor, an individual must ordinarily possess the appropriate terminal degree and/or professional registration or certification, substantial and successful experience in teaching and/or demonstrated research or professional accomplishments.

To be eligible for promotion to the rank of Associate Professor, a candidate must meet the standards of teaching performance required for the Assistant Professor rank. In addition, there should be evidence of a record of consistency both in the candidate's commitment to good teaching and in his/her ability in classroom teaching, and in his/her commitment to the promotion of students' academic pursuits through student counselling and the stimulation of interest in continued study of the discipline/field. The candidate will be expected to have achieved significant results of research/artistic or creative activity for which he/she has been largely responsible. Such results must include publications in refereed journals, books (or chapters in books), monographs or comparable publications. There must be evidence of a sound contribution in the field of specialization. If the published works are modest, there must be evidence of further work to be published or an otherwise adequately documented record of scholarly activity and achievement related to the discipline/field. Current unpublished research work shall be taken into consideration, but shall be given a lesser weighting than publications. For artistic and/or creative activity, the candidate will be expected to have demonstrated ability in creative work and a positive reputation extending beyond the immediate community. The candidate should have participated in exhibitions or other forms of performance to an extent which promises future development. Significant activity related to service to the University, and non-remunerative service to the community, will also be taken into account in individual cases.

**Promotion from Associate Professor to Professor:** Promotion to the rank of Professor normally requires evidence of successful teaching and scholarly activity beyond that expected of an Associate Professor. Promotion to this rank is not automatic or based on years of service.

To be eligible for appointment to the rank of Professor, an individual must ordinarily possess the appropriate terminal degree and/or professional registration or certification, distinguished achievements in teaching and/or a wide reputation for scholarship, creative accomplishment, or professional achievement among his/her peers in the academic community, including, but not limited to, his/her peers at this University.

To be eligible for promotion to the rank of Professor, an individual will be judged on the basis of total performance: teaching; research and scholarly activity, including creative accomplishment; service to the University; and non-remunerative service to the community. The successful candidate will be expected to have established a wide reputation in his/her field of interest, to be deeply engaged in scholarly work, to have shown him/herself to be an effective teacher, and to have a satisfactory record of service to the University and/or to the community. Teaching and research shall normally be weighted equally.

A candidate for the rank of Professor must have demonstrated a sustained and successful commitment to research and scholarly activity over a considerable span of time, and a reasonable expectation that this will continue in the future. The results of his/her research must have been published in sufficient quantity and quality to indicate that the candidate’s contribution is widely recognized by academic authorities in his/her field. Where appropriate, artistic activity will be taken into account as supplements to the foregoing requirement.

Where it is appropriate to the candidate's academic field, he/she must have demonstrated ability in artistic or
creative works, performances, or directing, including a sustained commitment to such activity over a considerable period of time, and reasonable expectation that such activity will continue in the future. Evidence must be presented of public exhibitions and other types of performance. The candidate should have achieved some measure of national or international recognition. Evidence of this recognition must be presented in documentary form, including reviews by reputable critics and peers from outside the University.

Teaching effectiveness is demonstrated by the degree to which the candidate for promotion is able to stimulate and challenge the intellectual ability of students, to communicate academic material effectively, and to maintain a mastery of his/her subject areas. It also involves maintaining accessibility to students, and the ability to influence the intellectual and scholarly development of students. A demonstrated high level of competence in teaching is required. In all but the most exceptional cases, this must be shown to have extended consistently over a considerable span of time, not merely in the two or three years prior to promotion.

In exceptional cases, a candidate with a long-standing record of outstanding teaching, including distinguished performance in the classroom and dedication to the welfare of students through counselling, personal contact and assistance, pedagogical innovations, and other related activities, constitutes an instance in which the relative importance of teaching shall be increased. Even in such cases, however, it will normally be considered a minimum requirement that there be at least some refereed publications in (a) reputable journal(s) or books, or (if appropriate) an equivalent in terms of artistic performance.

d. When a faculty member is or has been cross-appointed to two departments, programs or divisions, assessments of the candidate's teaching, research/artistic activities, and service should be sought from both departments, programs or divisions.

e. It must be understood that in a situation where promotions by and large are determined by academic peers working in committee, the concrete meaning of the stated criteria for promotion becomes clear only as the Faculty accumulates experience as to who gets promoted and who does not. Though criteria must be published, it is not necessary or especially useful to become very specific in criteria designed to be applied on a Faculty-wide basis. In the long run the best guarantee of justice and sound academic standards is the utilization of committees of academic peers acting in accordance with sound procedures.

November, 2001