



University
of Windsor

RENEWAL, TENURE AND PROMOTION (R.T.P.) GUIDE

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Completed: ✓

1. After June 30th and no later than October 1st:

- ___ 1) Each AAU Council shall **clearly articulate its procedures, criteria and standards for renewal, tenure and promotion, and the manner by which they are being evaluated in each of the categories of 1) scholarship, 2) teaching, and 3) service.** (Bylaw 22.4.1)

Senate Bylaw 22.4.1.1 states that the AAU-approved criteria and standards shall be forwarded by the AAU to the Faculty (Coordinating) Council for approval and then to the UCAPT for approval, to ensure Faculty-wide and University-wide consistency of standards, prior to being applied to an applicant for renewal, tenure and promotion. In the absence of approved AAU criteria and standards, the UCAPT shall establish and apply its own criteria for the AAU. UCAPT decisions on AAU-criteria shall be based on the guidelines established in Bylaw 23 (Bylaw 22.4.1.1).

Senate Bylaw 22.4.1.2 states that each AAU Council shall review and approve the criteria and standards annually. Any revisions stemming from this review must be approved by the Faculty (Coordinating) Council and the UCAPT.

Please note that the bylaw requires UCAPT to approve AAU criteria and standards and to apply its own standards in the absence of approved criteria. UCAPT will work collaboratively with the Deans to ensure that the provisions of Bylaw 22.4.1 are met.

- ___ 2) Head of AAU shall bring to the attention of the members of her/his AAU Council any pertinent regulations, bylaws and procedures relating to promotions, tenure and renewal of contract by September 1st. Any criteria approved by AAUs shall also be provided. Criteria created under Bylaw 23 may however be used as a guideline. (22.4.1.1) [see attached sample letters A and B]

- ___ 3) The AAU elects members of the RTP committee annually.

- ___ 4) **Performance Reviews:**
Written performance reviews must be completed by AAU Heads following the first, third and fifth full year of employment of an untenured faculty member, **preferably by June 30th**, but no later than October 1st. The AAU Head shall complete a Performance Review relating to the criteria for tenure and promotion to Associate Professor specified in Bylaw 23. Performance Reviews shall be in writing and each untenured faculty member shall have the right to make a written response relating to his/her achievement of the criteria. Performance Reviews can be conducted any time after June 1st, and AAU Heads are encouraged to conduct performance reviews as soon as possible after the beginning of June. The performance review and any written response shall be filed with the Dean of the Faculty by October 8th. [See sample template, pages 12 and 13]

- ___ 5) **Each AAU head shall** communicate in writing to each member the findings of the Performance Review required under 22.4.3.1 and 22.4.3.4.

- ___ 6) Take this opportunity to discuss potential Referees for Tenure and Promotion to Professor applications. Determine the relationship between the candidate and suggested referees. Please refer to the section on Letters of Reference – #13 on page 6 of this document.

- ___ 7) All Performance Reviews of the candidate (22.4.3 and C.A. 5:32) and responses must be available to the Renewal, Tenure and Promotion (RTP) committee members and are considered part of the UCAPT file.

- ___ 8) Candidate may respond in writing within five working days of the member's receiving the review.

- ___ 9) Performance reviews must be completed for all tenured faculty members every three (3) years, and annually following an unsatisfactory performance review until performance is considered satisfactory (Article 5.32). All applications for **promotion** must be accompanied by a written performance review completed at the time of application, whether or not a performance review is scheduled for that year. A tenured faculty member wishing to have a performance review outside this cycle will submit his/her request by September 15th. The performance review is to be conducted by October 1st.
- ___ 9) All untenured probationary faculty must receive written performance reviews after their first, third and fifth full year of employment. Tenure Application date restriction noted in C.A. Article 12:05 (b). Tenured faculty members applying for promotion should undergo a performance review.
- ___ 10) The member's response must be attached to and be a part of the performance review provided to the RTP committee.

2. September 8th -October 15th:

- ___ 1) Meeting between candidate and AAU Head (22.4.4.1, and C.A. 5:32)
 Name: _____
 Date: _____ Time: _____
- ___ 2) Summary of AAU Head's comments provided to candidate.
- ___ 3) Summary of candidate's response available for RTP committee.
- ___ 4) AAU Head: Recommends ___ Renewal/Tenure/Promotion [Circle one]
 Does Not Recommend ___ Renewal/Tenure/Promotion [Circle one]
- ___ 5) AAU Head clearly informed candidate of her/his recommendation.
- ___ 6) The AAU Head alerted candidate about his/her rights. (Bylaw 22.5)
- ___ 7) If "non-renewal of contract", "denial of tenure", or "denial of promotion" recommended, the member was advised **in writing** within two working days after meeting with member. (Bylaw 22.4.4.3)

3. Before RTP Committee Meets

Prior to the RTP committee meeting to assess an application for renewal, tenure or promotion, Heads should familiarize themselves with the provisions of Bylaws 22 and 23, must comply with the spirit and word of the Senate Bylaws in their implementation in order to ensure that practices and decisions conform accordingly.

- ___ 1) The RTP committee should not meet before the Renewal, Tenure and Promotion criteria has been reviewed and approved by the AAU and UCAPT as per Senate Bylaw 22.4.1 and 22.4.2. Bylaw 22.4.1 states that each AAU Council shall **clearly articulate its procedures, criteria and standards for renewal, tenure and promotion, and the manner by which they are being evaluated in each of the categories of 1) scholarship, 2) teaching, and 3) service.** It is important that AAU Heads ensure that procedures and standards are understood clearly by candidates and committee members and that pertinent regulations, bylaws and procedures are brought to the attention of candidates.
- ___ 2) Ensure RTP committees are properly constituted:
Committee Composition - See Bylaw 22.3.1

In the Faculty of Arts, Humanities and Social Sciences, the Dean (or Associate Dean) is a non-voting member of the RTP committee and the AAU Head chairs the committee as a voting member.

In the Faculties of Engineering and Science, the Dean (or Associate Dean) is a non-voting member of the RTP committee and the AAU Head chairs the committee as a voting member.

In the Faculties of Business Administration, Education, Human Kinetics, Law and Nursing, the Dean, who is the AAU Head, chairs the committee as a voting member.

- _____ a) For the **assignment of an EE/PA** (Equity Assessor) contact the Faculty Recruitment Coordinator in the Office of the Provost at ext. 1432. Every effort should be made to ensure that all members can attend the meetings of the RTP.
- _____ b) A quorum was present for the meeting.
 - Quorum = 1 less than the full voting membership of the committee. (Bylaw 22.6.1)
 - Chair can only vote once

Bylaw 22.6.1 states that: A quorum shall be one less than the full voting membership of the AAU Renewal, Promotion and Tenure Committee. All members, except the EE/PA and the Dean of a departmentalized Faculty, will have a vote. The vote will be by secret ballot unless the voting members of the Committee unanimously agree at the outset of their deliberations to vote by a show of hands. A decision shall be reached by a majority vote of the voting members present. In the event of a tie vote, a positive recommendation shall be forwarded to UCAPT.

The bylaw does not require that a student be present to hold a meeting, though it may be recommended. Provided that the committee is properly constituted (appropriate number of faculty, both genders and a student), then the meeting can be held with one less than the full voting membership (regardless of who is the "one less").

- _____ c) The student members and alternates are to be elected by the student members of the AAU and need not be members of the AAU Council. In all instances, there shall be no alternating among and between student representatives during the course of consideration of the renewal, promotion or tenure of an individual candidate.
- _____ d) Bylaw 22.3.1.4 requires that **both genders shall be represented among the non-student voting members on all AAU RTP committees**. Where necessary a faculty member from the non-represented gender shall be elected by the AAU Council from a cognate discipline as an additional voting member of the AAU RTP Committee.
- _____ 3) The **Chair** of a RTP committee **has the responsibility of ensuring** that the **candidate's application is ready for review by the committee**. The Chair should therefore advise the candidate if the application is incomplete and provide direction as to the requirements to be met. The AAU RTP **committee should not meet until the UCAPT file is complete**, and appropriate material is available for its consideration.
- _____ 4) The **Chair** of an AAU RTP committee **must be familiar with proper standards and procedures prior to convening the meetings and always seek to ensure that proceedings are fair and equitable**. For example, voting by secret ballot.
- _____ 5) AAU Heads are to ensure that all members of the RTP committee have a copy of the pertinent bylaws and access to all necessary documentation for committee deliberations at least **5 days** prior to the meeting. **Committee members should review all such material prior to meetings**.

- ___ 6) Bylaw 22 specifies that the AAU Head chairs all AAU RTP committee meetings and is responsible for making the logistical arrangements for meetings, preparing documentation, presenting cases and recommendations at meetings, preparing a draft summary of the proceedings, *etc.* **The AAU Head has overall responsibility for the preparation of the final summary in all cases and the committee must approve the AAU Head's summary of committee deliberations.**

Bylaw 22.5.1 states that the AAU Head shall initiate all proceedings of the AAU RTP Committee by presenting his or her recommendations, the Performance Review(s) of the faculty member, and any response(s) of the faculty member to the Review(s). Untenured faculty members shall be considered for renewal by the AAU RTP Committee after the third full year of their probationary period. When the review is positive, the AAU RTP Committee shall recommend continuation of the probationary appointment.
- ___ 7) Bylaw 22.5.2 specifies that at least **forty-eight** hours before the meeting or meetings, the Chair of the AAU RTP Committee shall inform each faculty member in writing of the date and time of the meeting or meetings when his or her case will be considered and of his/her right to make personal representation to the Committee. [see attached sample letter C]
- ___ 8) Bylaws 22.5.2.2 states that **where the AAU Head is recommending non-renewal of contract, denial of tenure, or not to promote, the faculty member concerned shall have the right to respond immediately after the Head's statement to the Committee on his or her case, and before any discussion takes place.**

4. After RTP Committee Meets

- ___ 1) Bylaw 22.6.3.1 states that prior to submitting the Committee's recommendations to the UCAPT, the AAU Head will inform the faculty member concerned whether a positive recommendation is to be made in his or her case regarding renewal of contract, tenure and promotion.
- ___ 2) Bylaw 22.6.3.2 states that in the case of a decision not to recommend, the faculty member shall be informed **in writing** of that fact, the reasons therefor and of his or her right to make written representations to the UCAPT. In all cases the faculty member must be informed of the Committee's recommendation or decision not to recommend by the dates specified in 6.5.

Bylaw 22.6.4 states that the Dean's recommendation on the file and its rationale, and the right to make written representations to the UCAPT, will be provided **in writing** to the faculty member concerned.

Bylaw 22.6.5 states that the recommendations of the AAU RTP Committee on contract renewals, with all the necessary supporting documents as directed by the UCAPT, the recommendations from the Dean and any written responses from the faculty member concerned shall be submitted to the Chair of the UCAPT on or before October 31. The recommendations of the AAU RTP Committee concerning tenure, with all the necessary supporting documents as directed by the UCAPT, and the recommendations from the Dean shall be submitted to the Chair of UCAPT by December 15 by the AAU Head. The recommendations of the AAU RTP Committee for promotions, with all the necessary documents as directed by the UCAPT, and the recommendations from the Dean shall be submitted to the Chair of the UCAPT by January 31.
- ___ 3) The completed application is sent to the Dean's office for their evaluation.

5. Dean's Review

- ___ 1) The candidates may see their file when the Dean's office has forwarded the completed application to UCAPT. The candidates may view their files within the Dean's office. In cases for tenure and promotion to full professor where external referees are included in the package, it is very important

that the identity of the external referees remain confidential. Any information contained in the application that may identify the external referees must be de-attributed from the application.

6. UCAPT Documentation Completion:

Candidate Responsibilities

- ___ 1) Applicant has accurately completed the electronic *c.v.* form, which is available electronically on the web (<http://www.uwindsor.ca/ecv/login>), prior to the performance review. No other version of the *c.v.* will be accepted.
- ___ 2) Applicant has provided the AAU Head with the electronic version of her/his accurately completed *c.v.* (format referred to above) prior to the performance review for Contract Renewal, Promotion and Tenure applications. Only *c.v.s* appended to applications for mandatory Tenure may be updated for a final time, and no later than one week prior to the AAU RTP committee meeting.
- ___ 3) OPTIONAL: Candidate provided Optional UCAPT Candidate Self-Assessment Statement, if any, to the AAU Head prior to the Head preparing for the performance review.
- ___ 4) OPTIONAL: Candidate provided Optional UCAPT Teaching Dossier Form and appendices, if any, or other teaching dossier to the AAU Head prior to the Head preparing for the performance review.
- ___ 5) Provide names of potential referees at the request of the AAU Head when considered for Tenure/Promotion to Professor (**preferably in June**). (Refer to section on Letters of Reference #13 on page 6). (List the names in order of preference and as many as you would like).
- ___ 6) All information **is typed**.
- ___ 7) All attachments are on 8½ X 11 inch paper.
- ___ 8) The applicant has provided the following specific information using the terms listed in relation to publications/exhibitions when completing the Research and Scholarly Activity portion of the *e-c.v.*

Required Publication Information:

1. Name(s) of all co-authors;
2. Title of article;
3. Name of journal;
4. Volume number of journal;
5. Year of publication;
6. Page numbers.

Terminology for Publications:

1. In Progress: ⇒ Research or creative activity currently being undertaken.
2. Completed: ⇒ Research or creative activity substantially completed but not yet submitted for publication/assessment.
3. Submitted: ⇒ Research or creative activity in the hands of the publisher/assessor, but not yet approved for publication/performance.
***indicate date (month and year) submitted**
4. In Press: ⇒ **Research** or creative activity approved for publication/exhibition.
***attached letter of acceptance must be included**
5. Published: ⇒ In print (electronically or hard copy).
*** indicate date (month and year)**

Department Head's Responsibilities

- ___ 9) Performance reviews have been completed. **After June 30th and no later than October 1st:** **Performance Reviews: written performance reviews** must be completed by AAU Heads and provided to all candidates for renewal, tenure and promotion (**preferably by June 30th**), but no later than October 1st. Performance Reviews can be conducted any time after June 1st, and AAU Heads are encouraged to conduct performance reviews as soon as possible after the beginning of June. [See sample template, pages 12 and 13]
- ___ 10) The AAU Head has checked to ensure that the electronic c.v. is completed and contains all required publication details as identified above in relation to Scholarly/Creative Activities and Research.
- ___ 11) The appropriate cover sheet has been completed (Contract Renewal, Tenure, Promotion to Associate Professor or Promotion to Professor).
- ___ 12) Attach copy of UCAPT-approved AAU Criteria.
- ___ 13) **Letters of Reference:**
In the case of tenure and promotion to Associate or promotion to full professor, Bylaw 22.5.2.3 states that **letters are required from a minimum of three referees** outside the University with established reputations within the candidate's field. At least one referee shall be chosen from a list drawn up by the AAU Renewal, Tenure and Promotion Committee, at least one shall be chosen from a list provided by the candidate, and the remaining referee shall be chosen from either list. All letters from referees must be forwarded to UCAPT with the UCAPT documentation. The candidate **shall not** communicate with their potential referees.
1. Samples of letters to be used are attached (letters D [Tenure] and E [Promotion to Professor]);
 2. In order to meet the December 15 deadline for submissions to UCAPT in **tenure** cases, and the January 31st deadline in **promotion to professor** cases, **the solicitation of external letters should begin in June and no later than September 1st**;
 3. Letters of reference should come from established senior scholars and in the case of promotions to Professor, exclusively from Professors;
 4. External reviewers should be at arms-length and **should not** have been a research collaborator or co-author during the past six (6) years. As well, the reviewer **should not** have any plans to collaborate with the applicant in the immediate future;
 5. The external reviewer **should not** have been a Ph.D. supervisor or external examiner and must not be from the same university as the applicant;
 6. All reviewers must be from established authorities in the field who are not in a conflict of interest (eg, personal, financial etc) with the candidate.
 7. Bylaw 22.5.2.4 states that all communications between all the referees (*both potential and actual*) and the AAU Head shall be in writing and copies of all such communications shall be submitted by the Chair of the AAU RTP Committee to the UCAPT.

The University of Windsor adheres to the Canada Research Chair Conflict of Interest Policy which is listed below:

Conflict of Interest and Confidentiality Policy of the Federal Research Funding Organizations
http://www.science.gc.ca/eic/site/063.nsf/eng/h_90108244.html?OpenDocument

Candidates may supply their materials for review by external referees in digital format, memory stick, or electronically, as well as audio, video and pdf documents.

What to Include in Package to the Selected Externals

- eCV
- Samples of publications – recommended by member and possibly others recommended by Head
- Documentation of creative activity (where applicable)
- Bylaw for Tenure and Promotion
- Departmental criteria

What not to Include in Package to the Selected Externals

- Material related to teaching or service should not be included in the package.

- ___ 14) Applicant's name and AAU appears on the top left corner of each page and attachment of all documents.
- ___ 15) The AAU Head/RTP committee has completed the Rating and Evaluation Form and has provided all required information.
- ___ 16) The candidate's Record of Student Course Ratings (SOST scores) and Student Evaluation of Teaching (SET) forms have been completed and provided for all years on campus and are included with the UCAPT documentation. Both SOST and SET results are to be included for all candidates hired prior to July 2004. See details under "Assessment of Teaching", on page 8.
- ___ 17) The Chair has provided clear reasons based on identified facts to support his/her recommendation. It is essential that evaluative comments in all sections **articulate a clear statement about the relationship between AAU RTP criteria and the assessment of the candidate's performance.**
- ___ 18) The AAU Head has completed all of the sections of the Rating and Evaluation Form entitled "**To be completed by AAU Head**".
- ___ 19) The **Cover Sheet** has votes recorded for **past** and **present** years, and:
- i) Committee Members' names and representative role and whether present or absent
 - ii) Number of positive votes
 - iii) Number of negative votes
 - iv) Number of abstentions**
 - v) NOTE: For tenure cases, a positive recommendation for tenure automatically results in a positive recommendation for promotion to Associate professor
- And has recorded:
- vi) Number of RTP committee members absent and identify the member or members absent
 - vii) Confirmation of attendance and name of EE/PA, where EE/PA could be assigned.
- ** An abstention is not a vote and does not count in the total number of votes cast. They are the same as a blank or scratched ballot. In Robert's Rules: "To 'abstain' means not to vote at all, and a member who makes no response if "abstentions" are called for abstains just as much as one who responds to that effect." The total number of votes cast are those that voted Yes or No. Simply put, abstentions are essentially a vote for the prevailing side. By not voting they are letting the item be defeated or carried as the case may be.
- ___ 20) Bylaw 22.3.1 states that an EE/PA (Equity Assessor) is a member of the committee (Non-Voting).
- An **EE/PA** will attend **all** meetings without exception of an AAU's RTP committee, when one has been assigned, and s/he will **sign the UCAPT cover sheet** above the head's signature after all sections have been completed and prior to the form's submission to the Dean and UCAPT. If the EE/PA wishes to make a more extensive statement, it should be appended to the UCAPT form.

21) **Assessment of Teaching:**
 In completing the teaching portion of the form AAUs are encouraged to consider as wide a range as possible of evidence relating to teaching. SOST scores and SET reports may be easily identifiable but alone cannot provide the necessary information. UCAPT will consider testimonials, letters, course outlines, specially designed materials of any kind prepared by the candidate, audio-video materials, web support or teaching materials, a summary of learning and teaching methods employed, personal observation, AAU or other seminars, alumni surveys, clinical field reports, information pertaining to graduate student competitions, papers presented about teaching or by students, counselling and advising and any other activities that may be relevant.

22) AAU RTP committees are asked to **provide SET report material for each candidate as follows:**

- The first two pages of each academic year's "Student Evaluation of Teaching Ability and Performance" (SET) for the period **beginning Fall 2004** – produced by ITS annually. [see pages 19-23]
- One report which contains the above-noted pages for the most recent year plus Table 1 and Table 2– produced and updated annually by ITS. [see pages 19 through 23]
- **Table 3**, noting Course contents/methodology changes -- **completed by the AAU**. [see page 23]

SET results (and no teaching SOST scores results) will be provided for those candidates hired after July 1, 2004. SET and SOST scores results will be provided for those hired by January 1, 2004.

23) AAU RTP committees are asked to **provide completed teaching SOST scores tables** for each candidate from her/his initial appointment date up to and including the period ending August 31, 2004. In addition to teaching scores, an individual's **rank in program** (e.g., 3rd of 15), **course numbers** (xx - 123, for example), **number of students in course**, **number of students who completed SOST questionnaires**, **course mean**, and **weighted mean** should be **provided** in the section on teaching. [See samples on pages 24 and 25].

Calculations required for Teaching SOST scores Tables (for data prior to September 1, 2004):

Calculating a **Course Mean:**

Compute the average of the SOST scores for the candidate for each course, for each semester.

Calculating a **Weighted Mean:**

The basic idea is that, if there are some scores (say, 5 of them) based on different sized samples, e.g.,

<u>Score:</u>	3.6	3.8	3.7	4.6	4.9
<u>Sample Size:</u> (# of student responses)	20.	12.	2.	3.	9.

Please compute the weighted mean as for the example above:

$$\frac{3.6(20) + 3.8(12) + 3.7(2) + 4.6(3) + 4.9(9)}{20 + 12 + 2 + 3 + 9} = 3.98$$

24) AAUs should also **consider a candidate's work in graduate supervision and involvement as thesis or dissertation reader, external examiner, etc.**

25) From Senate Bylaw 23.3.1 in all cases: A candidate for renewal of contract must have competent teaching ability as demonstrated by such instruments as student evaluations, sample course outlines, a UCAPT teaching dossier, and other evidence as provided by the candidate. The

required statement by the AAU Head must contain a detailed assessment of the candidate's commitment to and ability in teaching. Senate Bylaw 3.1.2 states that while the measure of teaching performance may be based primarily upon Senate-approved student evaluations, it must be supplemented by an evaluation by the AAU Renewal, Tenure and Promotion Committee and a report from the AAU Head. The AAU head's report will be derived from the candidate's performance review and will comment explicitly on the following points:

- _____ (i) the candidate's effectiveness in promoting students' academic pursuits and where appropriate stimulating interest in continued study of the discipline;
- _____ (ii) the candidate's day-to-day availability to students; and the "demands" placed on him/her by students and the candidate's willingness to assist students outside of formal class hours;
- _____ (iii) investigated student complaints;
- _____ (iv) unusual patterns of withdrawal from the candidate's classes

26) **Assessment of Service:**

_____ Service is divided into contributions to the University and contributions to the profession. Contributions to the activities of learned and professional societies and other community services utilizing professional expertise will be taken into account.

_____ 27) The Head should provide comments on Service to the University and Service and contributions to the academic profession. Contributions to the activities of learned and professional societies and other community services utilizing professional expertise will be taken into account

_____ 28) The AAU RTP Committee should rate the candidate's contributions to the University and to the academic profession in areas exclusive of teaching and research. Contributions to the activities of learned and professional societies and other community services utilizing professional expertise will be taken into account

29) **Summary:**

- _____ i) The overall assessment by the AAU RTP Committee summarized by the Chair should provide **a clear statement about the relationship between the AAU RTP criteria and the assessment of the candidate's performance along with a conclusion.**
- _____ ii) The overall assessment by the Head or Dean should provide **a clear statement about the relationship between the AAU RTP criteria and the assessment of the candidate's performance along with a conclusion.**
- _____ iii) In departmentalized faculties, the overall assessment by the Dean should provide **a clear statement about the relationship between the AAU RTP criteria and the assessment of the candidate's performance along with a conclusion.**

7. Conduct of the Meeting

_____ 1) While the chair has primary responsibility for ensuring equity in relation to the review process and merits of each case and the EE/PA is present to assist, all **AAU RTP committee members are responsible for working to ensure fairness** and equity during the review process at the AAU RTP committee level.

_____ 2) Given their experience, Deans of departmentalized faculties should take a leadership role in assisting the chair of an AAU committee to ensure fairness and equity.

_____ 3) The Equity Assessor is asked to assist the chair and to speak whenever necessary in order to seek to ensure fairness and equity. The chair should ensure the equity assessor is familiar with the rights and responsibilities of the candidate.

- ___ 4) Any observations reported by AAU RTP committee members must be documented and all conclusions substantiated.
- ___ 5) The candidate must be made aware of any new information arising at the AAU RTP Committee meeting and must be given the opportunity to provide a response prior to the Committee taking a vote and making its recommendation. No unsubstantiated information may be considered during deliberations.
- ___ 6) **If a case appears to be leading towards a negative result, while the bylaw does not prescribe it, the candidate shall be invited to meet with the committee to address its concerns prior to its making a final decision.**

8. Following the Meeting

- ___ 1) In accordance with Senate Bylaw 22.6.2, the AAU Head shall be responsible for the preparation of a summary of the proceedings of all meetings which shall be approved by the Committee and submitted to the UCAPT. The summary will include:
 - a) the initial recommendation of the AAU Head and the reasons therefor
 - b) the nature of the discussion, including statements and reasons for renewal of contract, promotion or tenure with reference to the AAU-approved criteria
 - c) and must specifically address any negative written comments by external referees;
 - d) the motions passed;
 - e) the votes cast, including the voting pattern for each year of contract renewal; and the voting pattern for promotion or tenure.

All proceedings shall be kept strictly confidential, and a copy of the summaries of the RTP meeting shall be placed in the member's personnel file. The AAU Head shall prepare an annual report on these data to the Office of Human Rights, Equity and Accessibility. The reporting format to be used is in Appendix A of Bylaw 22.
- ___ 2) Minutes and the summary were reviewed and approved by the AAU Committee.
- ___ 3) The candidate was informed of the AAU committee's decision in writing before the application was submitted to UCAPT.
- ___ 4) A copy of the completed UCAPT documentation is to be placed in the candidate's official personnel file in the Dean's office. Candidates have a right to see these documents, including the AAU Head's and Dean's comments and the comments of external referees. In the last instance the identity of the authors must remain confidential, unless the external referee consents to the release of his/her name.

9. Tenure prior to the end of probationary period

- ___ 1) Bylaw 22.4.5 states:

Any untenured faculty member at the Assistant level can be considered for tenure after two full years of employment at the University. In such cases, s/he shall initiate the process by making an application to the AAU Head by September 15. If the early tenure application is unsuccessful, the untenured faculty member will continue in his/her probationary appointment according to the normal timelines. Where a faculty member's early tenure application falls in his/her year of renewal, an unsuccessful tenure application will default to a review for renewal of contract. In such cases, a separate submission by the faculty member is not required. The maximum length of employment at the probationary level is six full years of employment.

Use for Renewal, Tenure and Promotion cases

File Name: Letter_A.frm

September X, 20XX

University of Windsor

SUBJECT: Contract Renewal, Tenure and Promotion Regulations, Bylaws and Procedures

Dear :

In accordance with Senate Bylaw 22.4.2, I am writing to bring to all AAU Council members' attention the pertinent regulations, bylaws and procedures relating to promotions, tenure and renewal of contract deliberations in our AAU.

Senate Bylaws 22 and 23 and Articles 5:31, 5.32, 12 and 13 of the Collective Agreement apply to these processes. (*where applicable*) Please also find the criteria approved in your area.)

Yours sincerely,

AAU Head

c: Dean

enclosure

Recommended for Use With all Performance Reviews

(Please provide a clear statement about the relationship between the AAU RTP criteria and the assessment of the candidate's performance along with a conclusion)

File Name: Perform.doc

(Add spaces as required)

Name:

Department:

Faculty:

Date:

1) Teaching

2) Research, Scholarly and Creative Activity

3) Service

4) Summary

(Place the following at the end of each Performance Review:)

Please place a check mark (✓) in one or both of the following boxes.

I have read, discussed and understand this performance review.

I have provided a written response dated _____.

(Signature of candidate)

Use for Renewal, Tenure and Promotion cases

File Name: Letter_B.frm

September X, 20XX

University of Windsor

SUBJECT: Performance Review Re Senate Bylaw 22.4.3, 22.4.4 and C.A. 5:32

Dear :

Please find enclosed a copy of your performance review for the period _____ to _____.

The performance review and any written response shall be filed with the Dean of the Faculty by October 8th.
(Senate Bylaw 22.4.3.1, 22.4.3.2, 22.4.3.4, and C.A. 5:32)

I look forward to discussing it with you at a mutually convenient time [or a specific time] prior to October 15th of this year.

Yours sincerely,

AAU Head

c: Dean

enclosure

Use for Renewal, Tenure and Promotion cases

File Name: Letter_C.frm

September X, 20XX

University of Windsor

SUBJECT: Renewal, Tenure and Promotion (RTP) Committee Meeting

Dear :

In accordance with Senate Bylaw 22.5.2, to consider your application for (Contract Renewal /Tenure /Promotion) please be advised that the Renewal, Promotion and Tenure Committee of the department of (department) will meet on (DATE) at (TIME) in (Room XXX) to consider your application for (Renewal/Tenure/Promotion to Associate Professor/Professor).

Senate Bylaw 22.5.2.1 states that at the AAU RTP Committee meeting at which your file is being reviewed, you shall have the right to respond immediately after the Head has presented his or her recommendation to the Committee on renewal of contract, tenure, or promotion and before any discussion takes place. Please inform me [or Chair as appropriate] whether you wish to do so.

Yours sincerely,

AAU Head

c: Dean

Use for Tenure Cases

Tenure - Referee's Sample Letter
File Name: Letter_D.frm

September X, 20XX

Dr.

University of.....

Dear Dr./Prof. (Name),

I am writing to you concerning Dr./Prof. (Name), (Rank), in the (Dept) within the Faculty of (Faculty) at the University of Windsor, who is being considered for tenure. Senate Bylaw 23 (enclosed) requires that before a final decision to recommend a candidate for tenure is made, the Academic Administrative Unit's (AAU's) Renewal, Tenure and Promotion Committee obtain "independent external evaluations of the quality of the candidate's scholarly and professional activities." These evaluations are also forwarded to the University Committee on Academic Promotion and Tenure. Refer to Senate Bylaw 23 (attached).

[The criteria quoted above cover the research activities of the vast majority of candidates considered for tenure. Nevertheless, some professors' work is in the creative and performing arts so their performances and other forms of creative activities will complement or will substitute for published, scholarly research. Dr./Prof. (Name) falls within this category.]

Your name has been put forward as a potential assessor from a list approved by the AAU's Renewal, Tenure and Promotion Committee. I am writing to provide you with information regarding this task and to ask if you will agree to act in this capacity. Your evaluation will be made available to the candidate in a form which does not identify you, although you may, if you wish, waive this practice of anonymity. I sincerely hope you will assist the Department/School of _____ in this regard.

If your response is positive, I shall forward to you immediately a list of Dr./Prof. (Name) works, selected copies of any books and/or major refereed works, and a summary of major professional activities [performances and/or creative contributions and a sampling of playbills, photos, reviews and other information that will be of assistance to you]. Please comment in detail on the significance of the overall scholarship record as well as on the individual papers, including the merit of the work, its originality, and its impact on the field of study. In addition, please compare Dr./Prof. (Name) to other scholars in this field at the **same stage** of career development.

You are not being asked whether Dr./Prof. (Name) should be awarded tenure at the University of Windsor. You are also not being asked to indicate if Dr./Prof. (Name) would be awarded tenure at your institution. Comments from these perspectives do not provide an evaluative perspective and thus may reduce the usefulness of the letter. We must make this assessment on the basis of the total record, not just on research, and on our own criteria and standards.

There are, of course, other key factors such as teaching performance and administrative contributions that affect the tenure decision. You are not asked for a judgement in these areas unless you happen to have direct familiarity with the candidate's performance.

If you agree to evaluate Dr./Prof.'s (Name) work, I shall need your written response which should indicate whether you would prefer your evaluation to remain anonymous by..... To assist us in moving to the next stage in this process, please complete and return the enclosed sheet with self-addressed envelope at your earliest convenience.

Sincerely

AAU Head

Enclosure
I agree

I regret that I am unable

to evaluate the work of _____ for the granting of Tenure
(name of UCAPT applicant)

I **do** / **do not** waive my right to anonymity.

Name

Address

Use for Promotion to Professor Cases

Promotion to Professor - Referee's Sample Letter
File Name: Letter_E.frm

September X, 20XX

Dr.

University of.....

Dear Dr./Prof ,

I am writing you concerning Dr./Prof. (Name), Associate Professor in the (Dept) within the Faculty of (Faculty) in the at the University of Windsor.

Dr. (Name) is being considered for promotion to the rank of Full Professor. Please refer to Senate Bylaw 23 (enclosed) requires that the Academic Administrative Unit's (AAU's) Renewal, Tenure and Promotion Committee obtain "independent external evaluations of the quality of the candidate's scholarly and professional activities." These evaluations are also forwarded to the University Committee on Academic Promotion and Tenure.

[The guideline quoted above covers the research activities of the vast majority of candidates for promotion to Professor. Nevertheless, some professors concentrate in the creative and performing arts so the performances and other forms of creative activity will complement or will substitute for published, scholarly research. Dr./Prof. (Name) falls within this category.]

Your name has been put forward as a potential assessor from a list approved by the AAU Renewal, Tenure and Promotion Committee. I am writing to provide you with information regarding this task and to ask if you will act in this capacity. Your evaluation will be included in Dr./Prof. (Name)'s file where the contents may be read by Dr./Prof. (Name) Your identity as writer of the reference will not be disclosed unless you indicate that you are prepared to waive your right to anonymity. I sincerely hope you will assist the AAU in this regard.

If your response is positive, I shall forward to you immediately a list of Dr./Prof. (Name)'s publications, selected copies of books and major refereed works, and a summary of major professional activities (performances and/or creative contributions and a sampling of playbills photos, reviews and other information that will be of assistance to you). Please comment in detail on the significance of the overall scholarship record as well as on the individual papers, including the merit of the work, its originality, and its impact on the field of study. In addition, please compare Dr./Prof. (Name) to other scholars in this field at the **same stage** of career development.

You are not being asked whether Dr./Prof. (Name) should be promoted to the rank of Professor at the University of Windsor. You are also not being asked to indicate if Dr./Prof. (Name) would be promoted to the rank of Professor at your institution. Comments from these perspectives do not provide an evaluative perspective and thus may reduce the usefulness of the letter. We must make this assessment on the basis of the total record, not just on research, and on our own criteria and standards.

There are, of course, other key factors such as teaching performance and administrative contributions that affect decisions of this kind. You are not asked for a judgement in these areas unless you happen to have direct familiarity with the candidate's performance.

If you agree to evaluate Dr./Prof. (Name)'s work, I shall need a written response from you by..... To assist us in moving to the next stage of this process, please complete and return the enclosed sheet with self-addressed envelope at your earliest convenience.

Sincerely,

AAU Head

Enclosure

I agree

I regret that I am unable

to evaluate the work of _____ for promotion to the rank of Professor.
(name of UCAPT applicant)

I **do** / **do not** waive my right to anonymity.

Name

Address

Use for Renewal, Tenure and Promotion Cases

STUDENT EVALUATION OF TEACHING (SET)

Note: Provide one sheet for each year commencing 2004/2005

Academic Year: 201__/201__

Name:

AAU:

STUDENT EVALUATION OF TEACHING ABILITY AND PERFORMANCE

The Students evaluated the candidate's teaching as follows:

Using numeral symbols: (7) Outstanding (6) Very Good (5) Good (4) Adequate
(3) Poor (2) Very Poor (1) Extremely Poor N/A (Not Applicable)

	SET Results
(a) Course Outlines	_____
(b) Organization of class	_____
(c) Preparation for classes	_____
(d) Clarity of communication	_____
(e) Ability to stimulate students' interest	_____
(f) Responsiveness to students' questions and suggestions	_____
(g) Quality of evaluation procedures	_____
(h) Quality of instructional materials	_____
(i) Competency in course subject matter	_____
(j) Appropriateness of material presented (volume and level)	_____
(k) Availability to students	_____
(l) Availability and effectiveness as student counsellor	_____
(m) Performance in elementary courses (100 and 200 level courses)	_____
(n) Performance in senior and graduate courses (300 level and higher)	_____
(o) Performance in Supervision of Graduate and Senior (Thesis) Undergraduate students	_____

- (i) the candidate's effectiveness in promoting students' academic pursuits and stimulating interest in continued study of the discipline

Level of Student Enthusiasm for taking this course at time of registration	Students Enrolled	Percent Responded	Number of Responses	Low (%)	Medium (%)	High (%)
Semester and Course #:						

Level of Student Enthusiasm for the course at the conclusion of the course	Students Enrolled	Percent Responded	Student Responses	Low (%)	Medium (%)	High (%)
Semester and Course #:						

After taking the Course, would students recommend the course to other students?	Students Enrolled	Percent Responded	Student Responses	Yes (%)	No (%)
Semester and Course #:					

- (ii) the candidate's day-to-day availability to students; and the "demands" placed on him/her by students and the candidate's willingness to assist students outside of formal class hours

Name:

AAU:

Record of Student Evaluations of Teaching (SET)
-- prepared by ITS

File Name: SETresults.doc

For the Period Fall 2004 forward

TABLE 1a – (A1-A12) Instructor Feedback

- a) The candidate’s weighted average on all “instructor” evaluations between Fall 20__ and Winter 20__ is _____.
- b) TABLE 1a
Weighted average scores of faculty members from highest to lowest score, by semester for the entire period that the candidate has taught on campus as a probationary tenure track and tenured faculty member. **The candidate’s score is identified in bold and underlined.**

Fall Semester 20__ to _____ Semester 20__ .

Faculty Member	F'04 (sample)	F'04	W'05	F'05	W'06	F'06	W'07	F'07	W'08	F'08	W'09
1	6.1										
2	5.88										
3	5.81										
4	4.67										
5	<u>4.58</u>										
6	4.57										
7	3.33										
8	3.11										
9	2.95										
10	2.93										
etc.											
Candidate's Ranking	<i>i.e.</i> 5/10										
AAU Average:											
Candidate's average for 3 rd year & higher courses (m)											
Candidate's average for 1 st & 2 nd year courses (n)											

Name:
AAU:

Record of Student Evaluations of Teaching (SET)
-- prepared by ITS

File Name: SETresults.doc

For the Period Fall 2004 forward

TABLE 1b – (B1-B12) Course Feedback

- c) The candidate's weighted average on all "course" evaluations between Fall 20__ and Winter 20__ is _____.
- d) TABLE 1b
Weighted average scores of faculty members from highest to lowest score, by semester for the entire period that the candidate has taught on campus as a probationary tenure track and tenured faculty member. **The candidate's score is identified in bold and underlined.**

Fall Semester 20__ to _____ Semester 20__.

Faculty Member	F'04 (sample)	F'04	W'05	F'05	W'06	F'06	W'07	F'07	W'08	F'08	W'09
1	6.1										
2	5.88										
3	5.81										
4	4.67										
5	<u>4.58</u>										
6	4.57										
7	3.33										
8	3.11										
9	2.95										
10	2.93										
etc.											
Candidate's Ranking	<i>i.e.</i> 5/10										
AAU Average:											
Candidate's average for 3 rd year & higher courses (m)											
Candidate's average for 1 st & 2 nd year courses (n)											

Name:
AAU:

TABLE 2 -- prepared by ITS

For the Period Fall 2004 forward

Department Heads to Asterisk (*) new courses taught.

<i>Semester and Year</i>	<i>Course Number and Section</i>	<i>Number Enrolled</i>	<i>Number of Responses</i>	<i>Percent Responded</i>	<i>Instructor Feedback (A1-A12) Average</i>	<i>Instructor Weighted Average per Semester</i>	<i>Course Feedback (B1-B12) Average</i>	<i>Course Weighted Average per Semester</i>

~~~~~  
 New Page:

**Name:**  
**AAU:**

**TABLE 3 – prepared by Department Head**

For the Period Fall 2004 forward

**Identification of NEW course preparations** (course not previously taught by the candidate):

|                                                  |  |  |  |  |  |  |
|--------------------------------------------------|--|--|--|--|--|--|
| Semester and Year:                               |  |  |  |  |  |  |
| Total number of courses taught in semester:      |  |  |  |  |  |  |
| Number of new/different courses taught/prepared: |  |  |  |  |  |  |

For previously taught courses:

Have course contents and/or methodology changed from year to year? **(Please Expand)**

## Use for Renewal, Tenure and Promotion Cases

Record of Student Course Ratings -- **SOST Scores Data**

### All Tables Prepared by Department Head

The candidate's weighted mean on all course evaluations between Fall \_\_\_\_\_ up to the end of Summer 2004 is \_\_\_\_\_.

#### TABLE 1

The weighted mean scores of faculty members from highest to lowest score, by semester; the candidate's score is circled:

**\*Add/Change Semesters and numbers** (for Faculty) [columns and rows] as appropriate.

**\*Asterisk new courses taught.**

Fall Semester 19\_\_\_\_ to \_\_\_\_\_ Semester 20\_\_\_\_ .

| Faculty Member      | F'95 (sample)       | F'95 | W'96 | F'96 | W'97 | F'97 | W'98 | F'98 | W'99 | F'00 | W'00 |
|---------------------|---------------------|------|------|------|------|------|------|------|------|------|------|
| 1                   | 4.1                 |      |      |      |      |      |      |      |      |      |      |
| 2                   | 3.88                |      |      |      |      |      |      |      |      |      |      |
| 3                   | 3.81                |      |      |      |      |      |      |      |      |      |      |
| 4                   | 3.67                |      |      |      |      |      |      |      |      |      |      |
| 5                   | 3.58                |      |      |      |      |      |      |      |      |      |      |
| 6                   | 3.57                |      |      |      |      |      |      |      |      |      |      |
| 7                   | 3.33                |      |      |      |      |      |      |      |      |      |      |
| 8                   | 3.11                |      |      |      |      |      |      |      |      |      |      |
| 9                   | 2.95                |      |      |      |      |      |      |      |      |      |      |
| 10                  | 2.93                |      |      |      |      |      |      |      |      |      |      |
| etc.                |                     |      |      |      |      |      |      |      |      |      |      |
| Candidate's Ranking | <i>i.e.</i><br>5/10 |      |      |      |      |      |      |      |      |      |      |

#### TABLE 2

Other results from student ratings of teaching:

| Semester:            | F'95 | W'96 | F'96 | W'97 | F'97 | W'98 | F'98 | W'99 | F'00 | W'00 |
|----------------------|------|------|------|------|------|------|------|------|------|------|
| Candidate            |      |      |      |      |      |      |      |      |      |      |
| Departmental Average |      |      |      |      |      |      |      |      |      |      |

Department average for period 199\_\_ to 2004 is: \_\_\_\_\_

Candidate's average for same period: \_\_\_\_\_

Candidate's average for period in 3<sup>rd</sup> and 4<sup>th</sup> year courses \_\_\_\_\_

## Use for Renewal, Tenure and Promotion Cases

**TABLE 3**

Please add columns/rows and record information for **all classes**, and for **each semester**.

| Semester | Course Number and Section | # of Responses | # Enrolled | Course Mean | Weighted Mean |
|----------|---------------------------|----------------|------------|-------------|---------------|
|          |                           |                |            |             |               |
|          |                           |                |            |             |               |
|          |                           |                |            |             |               |
|          |                           |                |            |             |               |

**TABLE 4**

Please add columns/rows and record information for **all classes**, and for **each semester**.

|                                                 |  |  |  |  |  |  |  |
|-------------------------------------------------|--|--|--|--|--|--|--|
| Semester and Year:                              |  |  |  |  |  |  |  |
| Number of new/different Courses taught/prepared |  |  |  |  |  |  |  |

Have course contents and/or methodology changed from year to year? (Please expand)

**TABLE 5**

Please add columns/rows and record information for **all classes**, and for **each semester**.

| Semester:                                                          | Fall 199X | Winter 200Y | Summer 200Y | Fall 200Y |
|--------------------------------------------------------------------|-----------|-------------|-------------|-----------|
| Course:                                                            |           |             |             |           |
| <b>ITEMS ON INSTRUCTOR</b>                                         |           |             |             |           |
| 1. Overall, the instruction on the course was very effective       |           |             |             |           |
| 2. Overall, this was a worthwhile course                           |           |             |             |           |
| 3. The course has definitely increased my knowledge and competence |           |             |             |           |





