



University
of Windsor

Provided by the Office of the Provost and Vice-President, Academic



2021-2022

UCAPT

RPP GUIDE
FOR
ANCILLARY ACADEMIC STAFF

CONTRACT RENEWAL
PERMANENCE
PROMOTIONS

For: _____
Candidate's Name

Date: _____

Please refer to this package while preparing UCAPT material for each candidate while progressing through the contract renewal, permanence and promotion processes. The contents apply to Renewal, Tenure and Promotion. When using it, be sure to apply only those parts that are relevant to the application.

Memo to: Deans and Heads
Re: Contract Renewal, Tenure /Permanence and Promotion Process

Note: Senate Bylaw 20, 22 and 23 ARE in effect.
Also note Articles 5:31, 5:32, 12 and 13 of the Windsor University Faculty Association/ University of Windsor Collective Agreement.

Make a Check mark ✓ on the blank lines provided to indicate completion of each step.

Summary of Important Deadlines

Bylaw:

September 1:	22.4.2	Pertinent information brought to attention of faculty members by AAU Head
October 1:	22.4.3 and C.A. 5:32	Performance Reviews completed and communicated in writing to faculty members and Dean by AAU Head
October 15:	22.4.4	AAU Head reviews performance of faculty member with member and indicates recommendations he/she will make re: PTR Initiate process to solicit letters of reference for all candidates applying for tenure/permanence and for promotion to professor
October 31:	22.6.4	Documentation to UCAPT Chair re: Renewals
December 15:	22.6.4	Documentation to UCAPT Chair re: Tenure/Permanence
January 31:	22.6.4	Documentation to UCAPT Chair re: Promotion

RENEWAL, PERMANENCE AND PROMOTION (RPP) 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 renewal of contract, permanence, and promotions by September 1st. Any criteria approved by AAU's 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 RPP 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 AAS member, **preferably by June 30th**, but no later than October 1st. The AAU Head shall complete a Performance Review relating to the criteria for permanence and promotion to AAS II or III. Performance Reviews shall be in writing and each untenured AAS member shall have the right to make a written response relating to the AAS member's 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 Permanence and Promotion to Learning Specialist, Ancillary Academic Staff IV 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 Promotion, Permanence and Renewal 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 permanent Learning Specialists, Ancillary Academic Staff 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 permanent, Learning Specialist, Ancillary Academic Staff member wishing to have a performance review outside this cycle will submit their request by September 15th. The performance review is to be conducted by October 1st.
- ____ 9) All untenured/permanence probationary Learning Specialist, Ancillary Academic Staff member who do not have permanence must receive annual written performance reviews. Permanence Application date restriction noted in C.A. Article 12:05 (b). Permanence candidates 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 RPP 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 applicant.
- ____ 3) Summary of applicant's response available for RPP committee.
- ____ 4) AAU Head: Recommends _____ Renewal/Permanence/Promotion [Circle one]
 Does Not Recommend _____ Renewal/Permanence/Promotion [Circle one]
- ____ 5) AAU Head clearly informed applicant of her/his recommendation.
- ____ 6) The AAU Head alerted applicant about the AAS member's rights. (Bylaw 22.5)
- ____ 7) If "non-renewal of contract", "denial of permanence", 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 RPP Committee Meets

Prior to the RPP committee meeting to assess an application for renewal, permanence, 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 RPP committee should not meet before the Renewal, Permanence 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 the candidates. It is also important that AAU Heads **review its procedures for evaluating candidates for promotion and/or permanence and clearly articulate the standards that are being used.**

- _____ 2) Ensure RPP 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 RPP 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 RPP 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 meeting of the RPP.
- _____ 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 Executive Dean 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 council; however, the student members or the alternate student members on the RPP committee 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 permanence of an individual applicant.
- _____ d) Bylaw 22.3.1.4. states: recognizing the historic and present need for ensuring women's representation on Senate committees, and appreciating the diversity of gender identities, all AAU RPP committees shall have non-student voting members from at least two different gender identities, one of whom self-identifies as female. Where necessary a faculty member from a second gender identity shall be elected by the AAU Council from a cognate discipline as an additional voting member of the AAU RPP Committee.
- _____ 3) The **Chair** of an AAU RPP committee **has the responsibility of ensuring** that the **candidate's application is ready for review by the committee**. The Chair should therefore advise the applicant if the application is incomplete and provide direction as to the requirements to be met. The AAU RPP **committee should not meet until the UCAPT file is complete**, and appropriate material is available for its consideration.

- _____ 4) The **Chair** of an AAU RPP 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 RPP 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 RPP/RPP 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 RPP Committee by presenting a recommendation for renewal, promotion and/or tenure/permanence, the Performance Review(s) of the AAS member, and any response(s) of the AAS member to the Review(s). Untenured AAS members shall be considered for renewal by the AAU RPP Committee after the third full year of their probationary period. When the review is positive, the AAU RPP 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 RPP/RPP Committee shall inform each AAS member in writing of the date and time of the meeting or meetings when the AAS member's case will be considered and of the AAS member's 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/permanence, or not to promote, the AAS member concerned shall have the right to respond immediately after the Head's statement to the Committee on the AAS member's case,** and before any discussion takes place.

4. After RPP 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 AAS member concerned whether a positive recommendation is to be made regarding renewal of contract, tenure/permanence and promotion.
- _____ 2) Bylaw 22.6.3.2 states that in the case of a decision not to recommend, the AAS member shall be informed **in writing** of that fact, the reasons therefor and of the AAS member's right to make written representations to the UCAPT. In all cases the AAS 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 AAS member concerned.

Bylaw 22.6.5 states that the recommendations of the AAU RPP 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 AAS member concerned shall be submitted to the Chair of the UCAPT on or before October 31. The recommendations of the AAU RPP Committee concerning tenure/permanence, 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 RPP 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

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 permanence and promotion to Learning Specialist, Ancillary Academic Staff IV 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, Permanence, and Promotion applications. Only c.v.s appended to applications for mandatory Permanence may be updated for a final time, and no later than one week prior to the AAU RPP 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 Permanence/Promotion to Learning Specialist, Ancillary Academic Staff IV (**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, permanence, 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, Permanence (and Promotion to Learning Specialist AAS II or III) or Promotion to Learning Specialist, AAS IV)).
- 12) Attach copy of UCAPT approved AAU Criteria.
- 13) **Letters of Reference:**
In the case of permanence (and promotion to Learning Specialist, AAS II or III) and promotion to Learning Specialist, AAS IV, 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, Permanence and Promotion Committee, and at least one (1) are chosen from a list provided by the candidate. One (1) Committee choice, One (1) Candidate choice, and One (1) from either the Committee or Candidate 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 [Permanence] and E [Promotion to Learning Specialist, AAS IV] ;
 2. In order to meet the December 15 deadline for submissions to UCAPT in **permanence** cases, and the January 31st deadline in **promotion to Learning Specialist, AAS IV** 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/or professionals in, or relevant to the candidate's field, at or above the applicant's desired rank;
 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 RPP 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 (if research is part of the AAS role) recommended by member and possibly others recommended by Head
- Documentation of creative activity (where applicable)
- Bylaw for Tenure and Promotion
- Departmental criteria
- Teaching dossier or equivalent professional portfolio (for Learning Specialist- AAS applicants)

What not to Include in Package to the Selected Externals

- Material related to teaching or service should only be included in the package if required by the applicant's RPP criteria.

- ____ 14) Applicant's name and AAU appears on the top left corner of each page and attachment of all documents.
- ____ 15) The AAU Head/RPP committee has completed the Rating and Evaluation Form and has provided all required information.
- ____ 16) The candidate's Student Evaluation of Teaching (SET) forms have been completed and provided for all years on campus and are included with the UCAPT documentation. See details under "Assessment of Teaching", on page 8.
- ____ 17) The Chair has provided clear reasons based on identified facts to support their recommendation. It is essential that evaluative comments in all sections **articulate a clear statement about the relationship between AAU RPP 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 permanence cases, a positive recommendation for permanence automatically results in a positive recommendation for promotion to Learning Specialist, AAS II or III.
- vi) And has recorded:
 - vii) Number of RPP committee members absent and identify the member or members absent
 - viii) 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 RPP committee, when one has been assigned, and the EE/PA **signs 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. 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 RPP committees are asked to **provide teaching assessment 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 19-24]
- 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 19-24]
- **Table 3**, noting Course contents/methodology changes -- **completed by the AAU**. [see page 23]

SET results, if available, (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.

In addition to SET results, or when SET results are unavailable, other types of evidence regarding teaching success and quality should be submitted. These may include but are not limited to: other teaching evaluation forms, clinical field notes, observation reports/peer reviews, and teaching artifacts.

____ 23) AAUs should also **consider a candidate's work in graduate supervision and involvement as thesis or dissertation reader, external examiner, etc.**

____ 24) From Senate Bylaw 23.3.1 in all cases: The AAU Head's **overall** evaluation of the candidate must include a detailed assessment of the candidate's commitment to and ability in teaching. 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

_____ 25) **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.

- _____ 26) 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.

- _____ 27) The AAU RPP 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.

28) **Summary:**

- _____ i) The overall assessment by the AAU RPP Committee summarized by the Chair should provide **a clear statement about the relationship between the AAU RPP 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 RPP 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 RPP 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 RPP committee members are responsible for working to ensure fairness** and equity during the review process at the AAU RPP 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 applicant.
- _____ 4) Any observations reported by AAU RPP committee members must be documented and all conclusions substantiated.
- _____ 5) The candidate must be made aware of any new information arising at the AAU RPP 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 applicant 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, permanence or promotion 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 permanence or promotion.

All proceedings shall be kept strictly confidential, and a copy of the summaries of the RPP 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 Bylaw 22, Appendix A.

- _____ 2) Minutes and 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 their name.

9. Permanence prior to the end of probationary period

- _____ 1) Bylaw 22.4.5 states:
Any untenured AAS member at the Assistant level can be considered for tenure after two full years of employment at the University. In such cases, the AAS member shall initiate the process by making an application to the AAU Head by September 15. If the early tenure application is unsuccessful, the untenured AAS member will continue in their probationary appointment according to the normal timelines. Where an AAS member's early tenure application falls in their year of renewal, an unsuccessful tenure application will default to a review for renewal of contract. In such cases, a separate submission by the AAS member is not required. The maximum length of employment at the probationary level is six full years of employment.

Use for Renewal, Permanence and Promotion cases

File Name: Letter_A.frm

September X, 20XX

University of Windsor

SUBJECT: Contract Renewal, Permanence 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 renewal of contract, permanence and promotion, 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 RPP criteria, the applicant's job description (where relevant), and the assessment of the applicant's performance along with a conclusion)

File Name: Perform.doc

(Add spaces as required)

Name:

Department:

Faculty:

Date:

1) Teaching (if applicable)

2) Research, Scholarly and Creative Activity (if applicable)

3) Service (if applicable)

4) Other (if applicable)

5) 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 applicant)

Use for Renewal, Permanence 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, Permanence and Promotion cases

File Name: Letter_C permanence.frm

September X, 20XX

University of Windsor

SUBJECT: Promotion, Permanence and Renewal (RPP) Committee Meeting

Dear :

In accordance with Senate Bylaw 22.5.2, to consider your application for (Contract Renewal/Permanence/Promotion) please be advised that the Renewal, Permanence and Promotion Committee of the department of (department) will meet on (DATE) at (TIME) in (Room XXX) to consider your application for (Renewal/Permanence/Promotion to Learning Specialist, AAS II or III or Promotion to Learning Specialist, AAS IV).

Senate Bylaw 22.5.2.1 states that at the AAU RPP Committee meeting at which your file is being reviewed, you shall have the right to respond immediately after the recommendation of the Head has been presented 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 Permanence Cases

Permanence - 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 name) at the University of Windsor, who is being considered for permanence. Senate Bylaw 23 (enclosed) requires that before a final decision to recommend a candidate for permanence is made, the Academic Administrative Unit's (AAU's) Renewal, Permanence 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).

In the case of LS-AAS candidates (Learning Specialist, Ancillary Academic Staff), whose work is focused on teaching and pedagogical service, the criteria for permanence take into account the relative proportion of time intended to be spent on teaching, service, and scholarship vis-à-vis the candidate's job description to adapt criteria appropriate for their roles. The responsibilities of LS-AAS candidates (Learning Specialist, Ancillary Academic Staff) may include project management, organization of pedagogical events, curriculum coordination, and development, educational/academic development, and academic leadership.

[The criteria quoted above cover the research activities of the vast majority of candidates considered for permanence. 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, Permanence 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, documents regarding program coordination, descriptions of workshops and training sessions taught, promotional materials produced], a teaching dossier or professional portfolio, and other information that will be of assistance to you. Please comment in detail on the significance of each aspect of the candidate's work about which you believe you have adequate expertise and experience to render a reasonable evaluation.

As the focus of Dr./Prof. (Name)'s position is teaching and pedagogical service, please focus your assessment on the significance and quality of their contributions in those areas, insofar as they can be assessed using the evidence provided, their reputation in the field, and the criteria derived from the candidate's job description. Regarding Dr./Prof. (Name)'s scholarship/research (if appropriate to the position), please comment on the significance of the individual publications, 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 permanence at the University of Windsor. You are also not being asked to indicate if Dr./Prof. (Name) would be awarded permanence 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 permanence 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 Permanence
(name of UCAPT applicant)

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

Name

Address

Use for Promotion to Learning Specialists, Ancillary Academic Staff IV Cases

Promotion to LS-AAS IV - 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), Learning Specialist, Ancillary Academic Staff (LS-AAS III) in the (Dept name) within the Faculty of (Faculty name) at the University of Windsor.

Dr. (Name) is being considered for promotion to the rank of Learning Specialist, Ancillary Academic Staff IV (LS-AAS IV). Senate Bylaw 23 (enclosed) requires that the Academic Administrative Unit's (AAU's) Renewal, Permanence and Promotion Committee obtain "independent external evaluations of the quality of the candidate's scholarly and professional activities" and other responsibilities pertinent to the candidate's job description. These evaluations are also forwarded to the University Committee on Academic Promotion and Tenure, whose guidelines require candidates for the rank of LS-AAS IV to have demonstrated a substantial commitment to teaching, service and scholarship over a considerable span of time, and a reasonable expectation that this will continue. The candidate's contributions to the institution and the field must be recognized as exemplary.

In the case of LS-AAS candidates (Learning Specialist, Ancillary Academic Staff), whose work is focused on teaching and pedagogical service, the criteria for Learning Specialist - Ancillary Academic Staff IV take into account the relative proportion of time intended to be spent on teaching, service, and scholarship vis-à-vis the candidate's job description to adapt criteria appropriate for their roles. The responsibilities of LS-AAS candidates (Learning Specialist, Ancillary Academic Staff) may include project management, organization of pedagogical events, curriculum coordination and development, educational/academic development, and academic leadership.

[Note that 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, Permanence 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) 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, documents regarding program coordination, descriptions of workshops and training sessions taught, promotional materials produced], a teaching dossier or professional portfolio, and other information that will be of assistance to you. Please comment in detail on the significance of each aspect of the candidate's work about which you believe you have adequate expertise and experience to render a reasonable evaluation.

As the focus of Dr./Prof. (Name)'s position is teaching and pedagogical service, please focus your assessment on the significance and quality of their contributions in those areas, insofar as they can be assessed using the evidence provided, their reputation in the field, and the criteria derived from the candidate's job description.

Regarding Dr./Prof. (Name)'s scholarship/research (if appropriate to the position), please comment on the significance of the individual publications, 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 LS-AAS IV at the University of Windsor. You are also not being asked to indicate if Dr./Prof. (Name) would be promoted to the rank of LS-AAS IV 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

(name of UCAPT applicant)

for promotion to the rank of LS-AAS IV.

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

Name

Address

(Please be advised that the SET UCAPT report may change in the future, but for now the report will continue to look like these pages (19-24))

Use for Renewal, Permanence 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 (SET)

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 permanence track and tenured/permanence 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.e. 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 permanence track and tenured/permanence 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)**

**Sample Reporting Structure for Teaching Activities**

~~~~~

New Page:

Name:
AAU:

TABLE 4

Semester and Year	Topic/Title	Format	Duration	Number of Times Offered	Total Number of Participants

UNIVERSITY OF WINDSOR

RECOMMENDATION TO UCAPT BY AAU COMMITTEE – AAS Renewal of Contract

Please Refer to:
Senate Bylaws 20, 22, 23 and
Collective Agreement Articles 5:31, 5.32, 12 & 13

AAU PTR Committee Membership:

List ALL members AND indicate whether present or absent

- 1) Voting AAU Head (Chair):
- 2) Voting Student (a):
- 3) Voting Student (b) [ONLY use for Joint & Hybrid appointments –

Bylaws 20:2.1.3 and 22.3.1.3]:

- 4) Voting Faculty members:
- 5) Non-voting Dean (or designate) of Departmentalized Faculty:
- 6) Non-voting EE/PA:

Check List:

- ☐ 1) yellow cover sheet
- ☐ 2) Rating and Evaluation Form
- ☐ 3) candidate's printed electronic c.v.
- ☐ 4) UCAPT Record of Student Course Ratings Tables
- ☐ 5) all performance reviews and responses
- ☐ 6) optional Candidate Self-Assessment Statement
- ☐ 7) optional teaching dossier
- ☐ 8) AAU PTR Criteria

RECOMMENDATION

To be completed by AAU Head:

NAME: _____

AAU/DEPT/SCHOOL: ...

Faculty: ...

The AAU Committee Recommends **RENEWAL OF CONTRACT:** Yes ☐ No ☐

Previous AAU Votes on Renewal of Contract:

<u>Date (day/month/year)</u>	<u>Yes</u>	<u>No</u>	<u>Abstention</u>	<u>Non-Voting</u>	<u>Absent</u>
/.../0000	0	0	0	0	0
/.../0000	0	0	0	0	0
/.../0000	0	0	0	0	0
/.../0000	0	0	0	0	0

Current AAU Vote: Yes: 0 No: 0 Abstention: 0 Non-Voting 0 Absent:0

Date: _____ EE/PA Signature: _____

Date: _____ AAU Head Signature: _____

~~~~~

### To be completed by the Office of the Provost and Vice-President, Academic Only:

1st Appointment Date: \_\_\_\_\_

Rank Hired at: \_\_\_\_\_ Present Rank: \_\_\_\_\_

Date Previously Promoted: \_\_\_\_\_

Normal Permanence Consideration Date: Fall \_\_\_\_\_

Minimum Permanence Consideration Date: Fall \_\_\_\_\_

**Form: UCAPT – AAS Renewal - Fall 2021**

# UNIVERSITY OF WINDSOR

## RECOMMENDATION TO UCAPT BY AAU COMMITTEE

### AAS – Permanence and Promotion to AAS II or III

PLEASE REFER TO: Senate Bylaws 20, 22, 23  
and Collective Agreement Articles 5:31, 5.32, 12 & 13

#### AAU PTR Committee Membership:

List ALL members AND indicate whether present or absent

- 1) Voting AAU Head (Chair):
- 2) Voting Student (a):
- 3) Voting Student (b) [ONLY use for Joint & Hybrid appointments –  
Bylaws 20:2.1.3 and 22.3.1.3]:
- 4) Voting Faculty members:
- 5) Non-voting Dean (or designate) of Departmentalized Faculty:
- 6) Non-voting EA/PA:

#### Check List:

- ☐ 1) orange cover sheet
- ☐ 2) Rating and Evaluation Form
- ☐ 3) candidate's printed electronic c.v.
- ☐ 4) UCAPT Record of Student Course Ratings Tables
- ☐ 5) all performance reviews and responses
- ☐ 6) 3 reference letters for permanence
- ☐ 7) optional Candidate Self-Assessment Statement
- ☐ 8) optional teaching dossier
- ☐ 9) AAU PTR Criteria

### RECOMMENDATION

To be completed by AAU Head:

NAME: \_\_\_\_\_

AAU/DEPT/SCHOOL: \_\_\_\_\_

Faculty: \_\_\_\_\_

The AAU Committee Recommends **RENEWAL OF CONTRACT WITH PERMANENCE:**      Yes      ☐      No      ☐

**When application for permanence prior to the end of the probationary period is not recommended, the candidate will continue in their probationary appointment according to the normal timelines. If this coincides with the applicant's renewal year, are you recommending renewal?**

A successful permanence application will automatically result in promotion to LS-AAS II or LS-AAS III, and only one application form is required. (Bylaw 22.4.6)

#### Previous AAU Votes on Renewal of Contract:

| <u>Date (date/month/year)</u> | <u>Yes</u> | <u>No</u> | <u>Abstention</u> | <u>Non-Voting</u> | <u>Absent</u> |
|-------------------------------|------------|-----------|-------------------|-------------------|---------------|
| /.../0000                     | 0          | 0         | 0                 | 0                 | 0             |
| /.../0000                     | 0          | 0         | 0                 | 0                 | 0             |
| /.../0000                     | 0          | 0         | 0                 | 0                 | 0             |
| /.../0000                     | 0          | 0         | 0                 | 0                 | 0             |

#### Referees Provided are as follows:

| <u>Name</u> | <u>Affiliation</u> | <u>Title</u> | <u>Choice: Committee's/Candidate's</u> |
|-------------|--------------------|--------------|----------------------------------------|
| 1)          |                    |              |                                        |
| 2)          |                    |              |                                        |
| 3)          |                    |              |                                        |
| 4)          |                    |              |                                        |

**Current AAU Vote:**      Yes: 0      No: 0      Abstention: 0      Non-Voting 0      Absent: 0

Date: \_\_\_\_\_ EE/PA Signature: \_\_\_\_\_

Date: \_\_\_\_\_ AAU Head Signature: \_\_\_\_\_

#### To be completed by the Office of the Provost and Vice-President, Academic Only:

1st Appointment Date: \_\_\_\_\_

Rank Hired at: \_\_\_\_\_ Present Rank: \_\_\_\_\_

Date Previously Promoted: \_\_\_\_\_

Normal Permanence Consideration Date: Fall \_\_\_\_\_

Minimum Permanence Consideration Date: Fall \_\_\_\_\_

**Form: UCAPT – AAS -- Permanence – Fall 2021**

**UNIVERSITY OF WINDSOR**  
**RECOMMENDATION TO UCAPT BY AAU COMMITTEE**  
**PROMOTION - Ancillary Academic Staff II or III**  
*(use this form when promotion does not include permanence)*

PLEASE REFER TO  
 Senate Bylaws 20, 22, 23 and  
 Collective Agreement Articles 5:31, 5.32, 12 & 13  
 ~ ~ ~ ~ ~

**AAU PTR Committee Membership:**

List ALL members AND indicate whether present or absent

- 1) Voting AAU Head (Chair):
- 2) Voting Student (a):
- 3) Voting Student (b) [ONLY use for Joint & Hybrid appointments – Bylaws 20:2.1.3 and 22.3.1.3]:
- 4) Voting Faculty members:
- 5) Non-voting Dean (or designate) of Departmentalized Faculty:
- 6) Non-voting EE/PA:

**Check List:**

- ☐ 1) blue cover sheet
- ☐ 2) Rating and Evaluation Form
- ☐ 3) candidate's printed electronic c.v.
- ☐ 4) UCAPT Record of Student Course Ratings Tables
- ☐ 5) all performance reviews and responses
- ☐ 6) optional Candidate Self-Assessment Statement
- ☐ 7) optional teaching dossier
- ☐ 8) AAU PTR Criteria

**RECOMMENDATION**

**To be completed by AAU Head:**

NAME: \_\_\_\_\_

AAU/DEPT/SCHOOL: ...

Faculty:...

The AAU Committee Recommends **PROMOTION** from AAS \_\_\_\_\_ to AAS II or III: Yes ☐ No ☐

**Current AAU Vote:** Yes: 0 No: 0 Abstention: 0 Non-Voting 0 Absent: 0

Date: \_\_\_\_\_

EE/PA Signature: \_\_\_\_\_

Date: \_\_\_\_\_

AAU Head Signature: \_\_\_\_\_

~ ~ ~ ~ ~

**To be completed by the Office of the Provost and Vice-President, Academic Only:**

1st Appointment Date: \_\_\_\_\_

Rank Hired at: \_\_\_\_\_

Present Rank: \_\_\_\_\_

Date Previously Promoted: \_\_\_\_\_

Normal Permanence Consideration Date: Fall \_\_\_\_\_

Date Permanence Received: \_\_\_\_\_

**Form: UCAPT – AAS Promotion - AAS II or III – Fall 2021**

# UNIVERSITY OF WINDSOR

## RECOMMENDATION TO UCAPT BY AAU COMMITTEE -- *PROMOTION*

### *Ancillary Academic Staff III to Ancillary Academic Staff IV*

**PLEASE REFER TO**

Senate Bylaws 20, 22, 23 and  
Collective Agreement Articles 5:31, 5.32, 12 & 13

~~~~~

AAU PTR Committee Membership:

List ALL members AND indicate whether present or absent

- 1) Voting AAU Head (Chair):
- 2) Voting Student (a):
- 3) Voting Student (b) **[ONLY use for Joint & Hybrid appointments – Bylaws 20:2.1.3 and 22.3.1.3]:**
- 4) Voting Faculty members:
- 5) Non-voting Dean (or designate) of Departmentalized Faculty:
- 6) Non-voting EE/PA:

Check List:

- ☐ 1) green cover sheet
- ☐ 2) Rating and Evaluation Form
- ☐ 3) candidate's printed electronic c.v.
- ☐ 4) UCAPT Record of Student Course Ratings Tables
- ☐ 5) all performance reviews and responses
- ☐ 6) 3 reference letters for promotion to AAS IV
- ☐ 7) optional Candidate Self-Assessment Statement
- ☐ 8) optional teaching dossier
- ☐ 9) AAU PTR Criteria

RECOMMENDATION

To be completed by AAU Head:

NAME: _____

AAU/DEPT/SCHOOL: ...

Faculty:...

The AAU Committee Recommends **PROMOTION From AAS III to AAS IV:** Yes ☐ No ☐

Referees Provided are as follows:

<u>Name</u>	<u>Affiliation</u>	<u>Title</u>	<u>Choice: Committee's/Candidate's</u>
1)			
2)			
3)			
4)			

Current AAU Vote: Yes: 0 No: 0 Abstention: 0 Non-Voting 0 Absent: 0

Date: _____ EE/PA Signature: _____

Date: _____ AAU Head Signature: _____

~~~~~

**To be completed by the Office of the Provost and Vice-President, Academic Only:**

1st Appointment Date: \_\_\_\_\_

Rank Hired at: \_\_\_\_\_

Present Rank: \_\_\_\_\_

Date Previously Promoted: \_\_\_\_\_

Normal Permanence Consideration Date: Fall \_\_\_\_\_

Date Permanence Received: \_\_\_\_\_

**Form: UCAPT – Promotion – AA S III to AAS IV – Fall 2021**



Name:

AAU:

# UNIVERSITY OF WINDSOR UCAPT RATING AND EVALUATION FORM

## **I. EVALUATION OF TEACHING ABILITY AND PERFORMANCE**

**List the RTP Committee's principal sources and bases of information for the evaluation below:**

[For example, for sources: personal observation, videos, AAU or other seminars, SET reports and other feedback, alumni surveys, clinical/field reports, and for information: teaching dossier, number and average size of courses evaluated, the number of different courses taught, the levels of instruction provided, the period of time in years covered by this evaluation, and a summary of the professor's teaching evaluation scores in relation to a profile of comparable evaluations from the Program. If the Optional UCAPT Teaching Dossier is provided, please refer to relevant contents specifically. Also, see Article 5:08 (c)(i)-(xiii) of the Collective Agreement.]

**I. A)** The RTP Committee evaluates the candidate's teaching as follows:

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

**Overall Assessment:**

- |                                                                                       |       |
|---------------------------------------------------------------------------------------|-------|
| (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 | _____ |

**Overall Evaluation of Teaching Ability and Performance**

*(include a clear statement of how the applicant meets specific AAU RTP criteria)*

*(this space expands)*

Name:

AAU:

**I. B) AAU Head's Evaluation:**

From Senate Bylaw 23.3.1 in all cases: The AAU Head's **overall** evaluation of the candidate must include a detailed assessment of the candidate's commitment to and ability in teaching. 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

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

**AAU Head's
Overall**

Assessment

- (i) the candidate's effectiveness in promoting students' academic pursuits and 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

AAU Head's Written Overall Teaching Evaluation (Comment explicitly on i-iv above):
(this space expands)

List the AAU Head's principal sources and bases of information for the evaluation:
(this space expands)

[For example, for sources: personal observation, videos, AAU or other seminars, student evaluations, alumni surveys, clinical/field reports, and for information: teaching dossier, number and average size of courses evaluated, the number of different courses taught, the levels of instruction provided, the period of time in years covered by this evaluation, and a summary of the professor's teaching evaluation scores in relation to a profile of comparable evaluations from the Program. If the Optional UCAPT Teaching Dossier is provided, please refer to relevant contents specifically. Also, see Article 5:08 (c)(i)-(xiii) of the Collective Agreement.]

Name:

AAU:

II. EVALUATION OF RESEARCH AND SCHOLARLY ACTIVITY

(Please note that for AAS members these pages would only apply if the AAS member has research, scholarly and/or creative activity in their job description -- If there is none of the above, then the evaluation should indicate N/A)

The Committee evaluates the candidate's research, scholarly and/or creative activity as follows:

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

(a) Commitment to research and scholarly activity as evidenced by output _____

(b) Record of research grants received _____

(c) Record of research contracts received _____

(d) Record of unfunded research activity _____

(e) Quantity of published research _____

(f) Quality of published research _____

(g) Potential for continuing future research & publication _____
(Comments:)

.....
(h) Commitment to creative output within the discipline _____

(i) Quality of performances, exhibitions, creative dramatic efforts, etc., recognized throughout the discipline as equivalent to research and publication _____

(j) Potential for continuing future output as in (i) _____

Overall Evaluation of Research and Scholarly Activity _____

The Committee's principal sources of the above evaluation were:

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**Research and Scholarly/Creative Evaluation by AAU Head (include a clear statement of how the applicant meets specific AAU RTP criteria):**

***(this space expands)***

**List the AAU Head's principal sources of the above evaluation:**

***(this space expands)***

**III. CONTRIBUTIONS TO THE UNIVERSITY AND TO THE ACADEMIC PROFESSION**  
**IN AREAS EXCLUSIVE OF TEACHING AND RESEARCH**

AAU RTP committee's assessment of the candidate's principal contributions to the 1) University and to the AAU; and 2) the academic profession, with references to information provided by the candidate. Contributions to the activities of learned and professional societies and other community services utilizing professional expertise will be taken into account.

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For the candidate's principal contributions listed in the box above, the AAU Committee evaluates the candidate's contributions as follows:

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

- | | |
|---|-------|
| (a) Contributions to the University | _____ |
| (b) Contributions to the AAU | _____ |
| (c) Willingness and availability for committee work | _____ |
| (d) General effectiveness in such work | _____ |
| (e) Contributions to the Academic Profession | _____ |
| (f) Contributions to the activities of learned and professional societies and other community services utilizing professional expertise | _____ |

~~~~~

**Assessment of candidate's contributions by AAU Head:**

*(this space expands)*

**List the AAU Head's principal sources and bases of information for the above evaluation:**

*(this space expands)*

Page 5  
Name:  
AAU:

**SUMMARY**

Final overall assessment of the candidate by the AAU RTP Committee, as summarized by the AAU Head and **reviewed by the AAU RTP Committee:**

*(this space expands)*

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Overall assessment by the AAU Head (**include a clear statement of how the applicant meets the AAU RTP criteria**):

(this space expands)

~~~~~

In departmentalized faculties, overall assessment by the Dean (**include a clear statement of how the applicant meets the AAU RTP criteria**):

*(this space expands)*

[illegible]

[illegible]

[illegible]



[illegible]

[illegible]



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Revised: July 2021