

York University 2011

Tenure and Promotions: File preparation and adjudication

Faculty of Fine Arts, September 12, 2011



redefine THE POSSIBLE.



Establishment of File Preparation Committee (FPC)

- The Adjudicating Committee will name two members to the FPC
- The candidate will be asked to name one member

The FPC reviews section **F.3.1. File Preparation** in the *Tenure and Promotions Policy, Criteria and Procedures*

When to start preparing a tenure and promotion file:

- file preparation should commence (the FPC be established) the January preceding the academic year in which the file will be considered

Adjudicating Committee's recommendation on T&P:

- must be communicated to candidate by **1 November** of year in which the file is considered

Candidate's responsibilities



- Name one member to the File Preparation Committee
- Provide:
 - c.v., and continue to update it during the process
 - the (optional) personal statement
 - copies of scholarly work
 - copies of reviews of work, if available
- Identify referees in all three areas

Preparing the file



The File Preparation Committee draws up lists of potential referees.

The committee then consults with the candidate as to additional names of referees to be added to the list.

For both tenure and promotion and promotion to Full Professor files, the FPC solicits letters of reference on:

- **Teaching:** 3 collegial referees + students + grad students supervised by candidate
- **Professional Contribution and Standing:** minimum of 3 referees, external to York and at arm's length from the candidate.
- **Service:** normally not more than 3 references

Solicitation of referees



Teaching:

- Collegial referees –
 - should attend classes well prior to the end of the winter term
 - cover all teaching formats
- Student referees –
 - best to solicit before end classes

Solicitation of referees (2)



Professional Contribution & Standing:

- best to solicit prior to conference, summer vacation season
- most units do two-stage solicitation:
 - get agreement to provide reference
 - send materials and standards

Solicitation of referees (3)



Service


- Normally internal to the University
- Rarely more than 3 letters
- Comprehensive list of what is “service” in YUFA Collective Agreement, 18.08.5

Letters of solicitation



Letters of solicitation provide guidance as to what the referees are being asked to judge and what standards they are expected to apply.

Comment must also be solicited from co-authors/co-investigators on the nature of the candidate's contribution to joint work.

 Letters may be sent and received by e-mail. If there is no electronic signature, then the e-mail which accompanied the reference letter, clearly indicating the sender, must be included in the file.

What gets sent to the referees?



All referees (except students) are sent:

- Curriculum vitae
- Candidate's personal statement
- A copy of the University criteria and Faculty standards for tenure and promotion

PC&S referees are also sent:

- Copies of the candidate's scholarly work (e.g. articles, book chapters, slides, DVDs, work in progress)
- Other materials which the candidate deems relevant

What gets sent to the referees (2)?



Collegial teaching referees are also sent:

- Course outlines
- Assignments
- Handouts
- Teaching dossier (optional)
- Other materials which the candidate deems relevant

Service referees are also sent:

- Materials which the candidate deems relevant

What goes in the file



- Curriculum vitae - updated as necessary
- Personal statement (optional) – normally no more than 2000 words
- Summaries of citation counts
- University criteria/Faculty standards
- Adjudicating Committee report on Advancement to Candidacy/Dean's letter of notification

Teaching documentation

- Collegial letters of reference
- Statistical summaries
- Signed student comments from teaching evaluations
- Student letters

Statistical summaries – teaching data



- Provide comparative data – the Faculty standards refer to how the candidate compares to the “departmental mean”
- Use tables to summarize data for all course polls
- Write the questions on the summaries
- Where a course is co-taught, the data from course polls should distinguish clearly feedback for each instructor

Referees' letters:

- Rarely more than 5 or 6
- ALL PC&S referees must be at arm's length from the candidate
- Statements from co-authors/collaborators on the nature of the candidate's contributions to joint work
- Published reviews of scholarship/creative production, if available

What goes in the file – Service



Referees' letters

What else goes in the file? (F.3.1.5.)



In addition, as a minimum, each file will include:

- List of referees whose letters are included (indicate which selected by candidate)
- Brief bios or c.v.s of the PC&S referees, indicating status (i.e., Associate Professor, Full Professor)
- Sample copies of letters to solicit references

What doesn't go in the file



- **Unsigned student comment.**
- Anonymous comment/letters.
- Course outlines and assignments.
- Copies of the candidates scholarly work.

Unsolicited material



"Unsolicited material" is not expressly prohibited by the *Policy*. The FPC must consider:

The File Preparation Committee has the responsibility of assembling a file which is complete and which fairly and accurately reflects the candidate's academic career at York and/or elsewhere.

Does the material meet that test?

If yes, include but must disclose to candidate and AC.

The FPC contextualizing commentary about the file could include:

- how and why the referees were chosen
- explanation for the choice of any non-arm's-length referees
- relevant information about the appointment
- explanation for any substantial delays in assembling the file
- B.2. “in cases where there may be division within a discipline, the [FPC] should describe the nature of the conflict among schools of thought and present the [AC] with a wider range of professional opinion.”

The commentary completes the preparation of the file.

The commentary does not:

- Summarize the evidence.
- Tell the Adjudicating Committee how to view the evidence.
- Make a recommendation on the file.

Organization of file



- Completed application form in every copy of the file.
- The file is complete once File Preparation Committee commentary is added.

ANYTHING that comes after is added on top of that, not re-sorted into the various categories.

Organization of file - continued



- The file should be organized in such a way as to make it easy for committees to find material.
 - Table of contents
 - Page numbers
 - Tabs

- Once the AC has made its recommendation, all copies of the application form should be updated.

The complete file



Once the file is completed, only the following may be added:

- Reports from the Adjudicating and Review Committees
- Dean's letter of transmittal
- Any solicited material which arrives late
- Material which the candidate wishes to add

The complete file (2)



- Section F.2.3.: Candidates shall have the right to review their complete file at any stage subject to the exceptions outlined in F.3.1.6. *Confidentiality and the Candidate's Right to Know*.
- Candidates can see all material in their files *except* the original letters with signatures; i.e. they can see who wrote and what was written, but not who wrote what.
- Prior to file completion, the candidate may not view the list of referees who have responded nor the references received.

Adjudication – Section F.3.2.



F.3.2.1.(a) The **principal substantive assessment** of a candidate's file takes place in an Adjudicating Committee (AC) within the candidate's home unit.

- The AC weighs the evidence in the file to reach its recommendation to tenure and/or promote, delay or deny.
- For tenure and promotion files, votes are recorded in each of the three criterion areas, as well as for tenure and promotion.
- For promotion files, the vote is only to promote or to delay.

Before you adjudicate



1. Ensure that the candidate knows the file is being adjudicated and has had the opportunity to review the complete file and respond to the FPC commentary if he or she wishes.
2. Read the file thoroughly.
3. Review the University *Policy* and Faculty standards.
4. Ensure that the file is complete (F.3.1.5.).
5. Ensure that the AC is constituted in accordance with F.3.2.1d (six to eight probationary/tenured faculty and normally two to three students).
6. Ensure that you meet quorum for all adjudications.

Before you adjudicate - 2



Understand what type of file you are assessing:

Tenure only	Associate Professor/Lecturer is applying for tenure	AC ranks three criterion areas and makes a recommendation on tenure
Tenure and promotion	Assistant Professor/Lecturer is applying for tenure and promotion to Associate Professor/Lecturer	AC ranks three criterion areas and makes a recommendation on tenure and on promotion
Promotion to Associate Professor	Tenured Assistant Professor/Lecturer is applying for promotion to Associate Professor/Lecturer	AC ranks three criterion areas and makes a recommendation on promotion
Promotion to Professor	Associate Professor is applying for promotion to Professor; Associate Lecturer is applying for promotion to Senior Lecturer	AC makes a recommendation on promotion

Before you adjudicate – 3



For tenure and promotion files, be clear what year of Candidacy the candidate is in and how this affects the committee's recommendation.

- Candidacy 1 and 2: Possible recommendations: approve, delay, deny.
- Candidacy 3 – relatively rare: Committee can recommend only to approve or deny tenure.

The Adjudicating Committee weighs the evidence in the file, applying unit tenure and promotion standards.

Committee members:

- Ground their discussion of the file in the standards, being specific in the application of the standards to the evidence in the file.
- Speak directly to the evidence in the file (e.g. collegial referees, student referees, course evaluation data, external referees, the curriculum vitae) and use page numbers to refer to specific documents.

Teaching

Possible questions to consider:

- Is the evidence (course polls, collegial evaluations, student letters) consistent? Are there differences in undergraduate (upper level/introductory) or graduate teaching? Are some of the courses inherently more difficult than others to engage students (size, level, topic, required course)?
- Look at the numeric data. Where does the candidate stand comparatively?
- Has the candidate any other teaching accomplishments or activities?

Professional Contribution and Standing

- What are the scholarly accomplishments of the candidate? (e.g. publications, exhibitions, compositions, performances, reports, conferences, grants, etc.)
- Is there a consensus among the external referees as to the quality, quantity, impact and reputation of the candidate's work?
- How does this measure up against the unit standards? Disciplinary norms?
- Are all external referees at arm's length from the candidate? If not, has the FPC addressed why the letters were included? How much weight should these assessments be given?

Service

- What service responsibilities has the candidate undertaken at the level of the unit? The Faculty? The University?
- What are the unit's expectations?
- What do the referees say about the candidate's service?

Discussing the evidence



- When discussing evidence in all three areas, it is important to:
 - Address the both positive and negative evidence. How do you weigh it? Why?
 - Look at the nature of the negative comments. Who is making them? In PC&S, is there division within the discipline? In teaching, are they more about the space and time of class than the instructor?
 - For tenure files, review the Advancement to Candidacy letter. What specific advice was provided to the candidate? Have any shortcomings identified been addressed since that time?
- Is there enough evidence in the file on which to base a recommendation?
- **You are now ready to vote.**

Minimum standards



- The minimum standards for tenure and/or promotion to Associate Professor are as follows (B.4):

	Teaching	Professional Contribution & Standing	Service
Scenario 1	Excellence	Competence	Competence not demonstrated
Scenario 2	Competence	Excellence	Competence not demonstrated
Scenario 3	Competence	Competence	Excellence
Scenario 4	High Competence	High Competence	High Competence

Tenure and Promotion:

A candidate who has met the minimum standards is recommended for both tenure and promotion.

Promotion to Full Professor:

The committee votes only to ***approve*** or ***delay*** promotion. The three criterion areas are not ranked.

Adjudicating Committee Report



- The Adjudicating Committee (AC) prepares a report which:
 - is full and balanced, giving detailed reasons for its recommendation;
 - addresses all evidence in the file;
 - clearly indicates that its recommendation is based on the application of the criteria/standards to the evidence;
 - addresses conflicts/discrepancies of referees' letters;
 - includes detailed results of votes and addresses divergent votes among Committee members.
- In its report the AC must clearly make the case for its decision, demonstrating how the evidence in the file supports the recommendation.

After adjudication



- The report is copied to the candidate
- The Dean transmits the file to the Review Committee.
- The Review Committee considers the file.
- The file goes to the President for a decision.

Files referred back



The Review Committee may refer a file back to the Adjudicating Committee:

- if it determines that the procedures have not been followed; and/or
- if it determines that the appropriate criteria have not been fairly applied; and/or
- if there is substantive new information which might affect the Adjudicating Committee's assessment and recommendation.

Files referred back (2)



- The current Adjudicating Committee reconsiders the file. The Adjudicating Committee can decide to refer the file back to the FPC if more documentation is required.
- The Adjudicating Committee must vote again on a referred back file.
- The file must then go to the Dean again for transmittal to the Review Committee.

More information



- Unit and Faculty T&P Chairs, Faculty T&P Secretary, YUFA, Faculty Relations, University Secretariat
- Tip Sheets
- The T&P Toolkit contains:
 - T&P Policy, Criteria and Procedures
 - Application status form & checklist
 - Frequently asked questions
 - Steps in the process
 - Suggested timeline for typical files
 - Sample letters to referees
- Find the Tip Sheets and toolkit at:

http://www.yorku.ca/secretariat/senate_cte_main_pages/tnp.htm