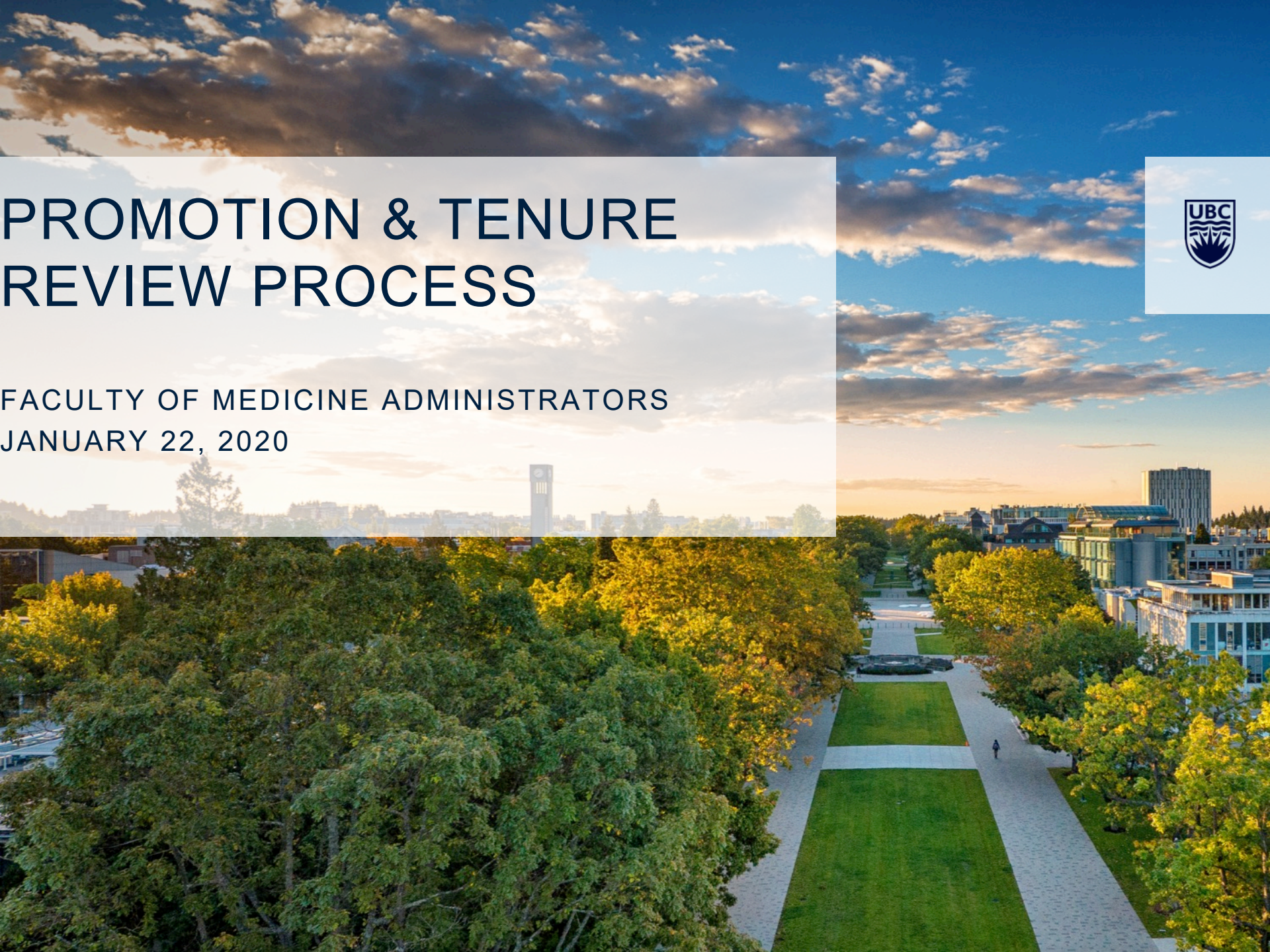# PROMOTION & TENURE REVIEW PROCESS

FACULTY OF MEDICINE ADMINISTRATORS
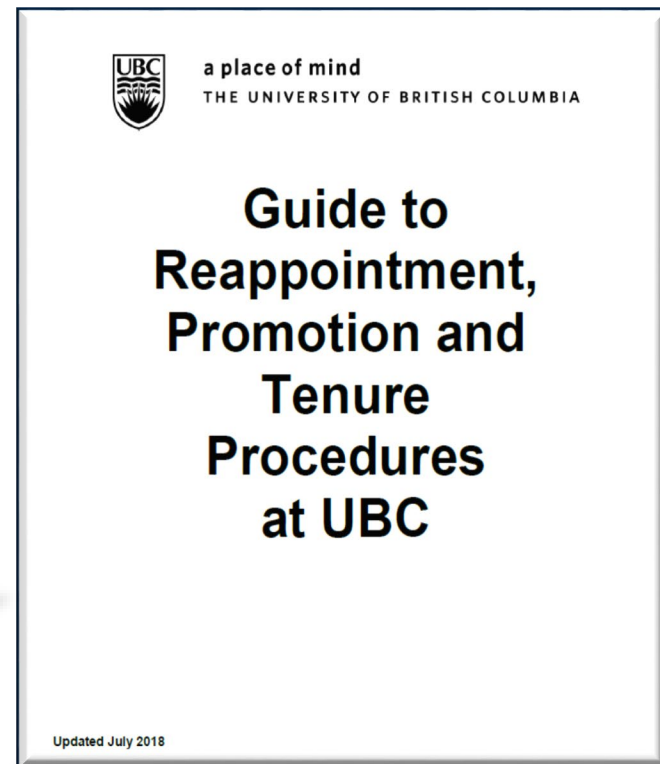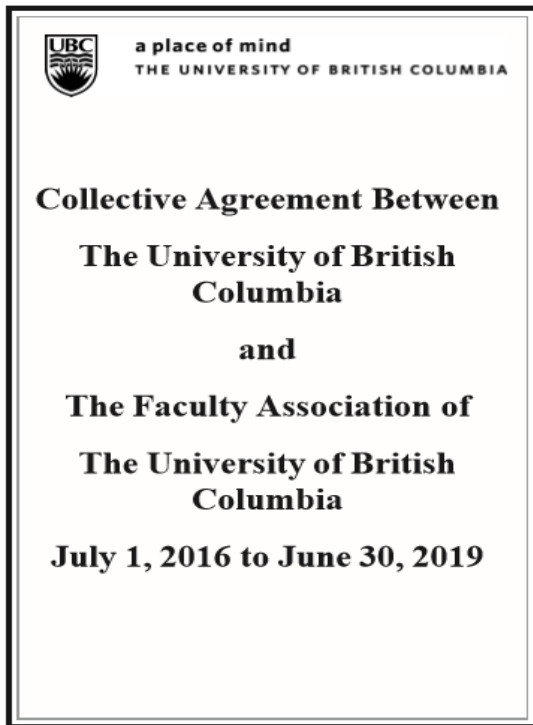JANUARY 22, 2020

OUR OBJECTIVE

- To provide Administrators with an understanding of the tenure and promotion processes.

- To support you in enabling the success of tenure stream faculty members going forward for tenure and promotion.

THE PROCEDURES

- The reappointment, tenure & promotion criteria and procedures are set out in **Articles 4, 5, 9 & 13** of *Conditions of Appointment for Faculty*, and are supplemented by the *Guide to Reappointment, Tenure and Promotion Procedures at UBC* ("**SAC Guide**").

UBC a place of mind
THE UNIVERSITY OF BRITISH COLUMBIA

Collective Agreement Between

The University of British Columbia

and

The Faculty Association of The University of British Columbia

July 1, 2016 to June 30, 2019

UBC a place of mind
THE UNIVERSITY OF BRITISH COLUMBIA

Guide to Reappointment, Promotion and Tenure Procedures at UBC

Updated July 2018

TENURE STREAM FACULTY MEMBERS

- There are two Streams.

- Professoriate (Research) Stream and the Educational Leadership (Teaching) Stream.

- There are different criteria for each stream.

- The criteria for tenure and promotion are the same for both tenured and **grant** tenured appointments.

PROFESSORIATE (RESEARCH) STREAM

- Ranks:

    - Professors with tenure / grant tenure;

    - Associate Professors, tenure track or with tenure / grant tenure;

    - Assistant Professors, tenure track / grant tenure track.

- Promotion requires candidates to meet the criteria for:

    - Scholarly Activity,

    - Teaching, and

    - Service.

SCHOLARLY & PROFESSIONAL ACTIVITY

- Scholarly activity means "research of quality and significance, or, in appropriate fields, distinguished, creative or professional work of a scholarly nature; and the dissemination of the results of that scholarly activity."

- Judgement of scholarly activity is based mainly on the quality and significance of an individual's contribution.

SCHOLARLY & PROFESSIONAL ACTIVITY

- Scholarly activity can take three forms:

    (1) traditional scholarship;

    (2) scholarship of teaching; and/or

    (3) professional contributions.

- Cases can be based on one or a **combination** of the different forms of scholarly activity.

TRADITIONAL SCHOLARSHIP

- Published work, is where appropriate, the primary evidence. Substantive external peer reviews of published work are important. The expectations of published works will vary depending on the discipline. The candidate's published work should be examined with three related considerations in mind:
    - Quality of the venues in which the candidate's published work appears;
    - The quantity of the candidate's published work;
    - The overall impact of the candidate's work on their field or discipline.

- Examples: Peer-reviewed journal publications

SCHOLARSHIP OF TEACHING

- Makes a **broader contribution to the improvement of teaching and learning** beyond one's own teaching responsibilities.

- Evidenced by factors such as originality or innovation, demonstrable impact in a particular field or discipline, peer reviews of scholarly contributions to teaching, dissemination in the public domain, or substantial and sustained use by others.

- Examples: Textbooks and curriculum reform that changed academic understanding or made a significant contribution to the way in which a discipline or field is taught; Creation of educational programs of significant impact inside or outside the University (e.g. continuing medical education or patient education).

PROFESSIONAL CONTRIBUTIONS

- Demonstration that an individual is a leader in a field or possesses outstanding stature or rare expertise in a field.

- Candidate must provide evidence they have **impacted practice**, changed policy-making, organizational decision making, clinical practice, etc. and their contributions are recognized by peers as exemplary or have been emulated.

- Merely practicing as a physician or consultant is insufficient.

- Examples: The making of an invention, development of new techniques, conceptual innovations, development of guidelines, health or government policy, international health and development, consensus conference statements, and setting of standards, knowledge transfer.

BLENDED FILES

- Scholarly activity can take three forms:
    (1) traditional scholarship;
    (2) scholarship of teaching; and/or
    (3) professional contributions.

- Cases can be based on one or a **combination** of the different forms of scholarly activity.

- The form of scholarly activity should be determined in advance in discussion between the Head and the candidate so that appropriate referees are chosen and appropriate criteria are applied at all stages of the review.

- **Appointment context** is a key element that must be included to help referees and committees understand blended files.

- A key consideration in blended files is to ensure the candidate meets an appropriate level of recognition in their field as a whole.

TEAM SCIENCE/ CONTEXT WITHIN FILE

- Personal statements should reflect a detailed description of the type of contributions the candidate has made to teams.

- Publications should be annotated to indicate their role and extent of contributions.

- Budget line items should be pulled out on large team grants for which the candidate is responsible for.

- Formally solicit letters from collaborators to explicitly describe the candidate's contributions (not to be regarded as a formal letter of reference).

- Context of the candidate's contributions and research should be detailed out in the Head's recommendation letter.

EDUCATIONAL LEADERSHIP STREAM

- Ranks:

    - Professors of Teaching with tenure / grant tenure;

    - Senior Instructors, tenure track or with tenure / grant tenure;

    - Instructors, tenure track / grant tenure track.

- Promotion requires candidates to meet the criteria for:

    - Teaching,

    - Educational Leadership, and

    - Service

- With the exception of the criteria and referee solicitation, the review process for the educational leadership stream is the same as the research stream.

EDUCATIONAL LEADERSHIP - DEFINED

- Activities taken at UBC and elsewhere to advance innovation in teaching and learning with impact beyond one's classroom.

- Judgement of educational leadership is based mainly on the quality and significance of the individual's contributions.

EVIDENCE OF EDUCATIONAL LEADERSHIP

- Varies across Departments to reflect different contexts and educational leadership needs/opportunities.

- It can include, but is not limited to:
    - Innovation and enhancements to teaching, learning and assessment that has impact beyond the candidate's classroom,
    - Significant contributions to curriculum development and renewal,
    - Activities to advance interdisciplinary, inter-professional and inter-institutional collaborations in teaching and learning,
    - Leading the implementation of funded initiatives or activities,
    - Contributions to the practice and theory of teaching and learning literature,
    - Formal educational leadership responsibilities.

THE TENURE CLOCK

- The tenure clock begins on July 1 of the calendar year of hire.

- Assistant Professors will be mandatorily reviewed in year 7 of their appointment; all other ranks will be reviewed in year 5 of their appointment.

- A tenure track Assistant Professor/Instructor may be reviewed early for promotion and if granted, tenure will be automatic.

- Extensions are granted for maternity leaves (automatic) and sick leaves and parental leaves upon request (on a case by case basis).

FAQ: How long is the tenure clock extension following an 18 month maternity leave? 1 year

REVIEWS FOR PROMOTION & TENURE

- As per the most recent Collective Agreement (2016-2019) Periodic and Non-Periodic terminology has been eliminated.

- New terminology: **Mandatory** and **Optional** review.

Rank	Optional Review	Mandatory Review
Assistant Professor	Any Year	Year 7
Associate Professor	Any Year	Year 5
Instructor	Any Year	Year 5

FAQ: Do faculty members 'with tenure' have an Optional or a Mandatory review for promotion? These are now always Optional reviews (aka Post-Tenure reviews).

OPTIONAL REVIEWS – PRE-TENURED FACULTY

- May be conducted during any year with the consent of Head and candidate.

- May be stopped by the Head, Dean, or candidate at any time, **EXCEPT** only the candidate may stop an optional review in the year after a formal reappointment.

- A negative decision in an optional review does not result in terminal year.

FAQ: If the President decides 'against promotion' following an Optional Review, can the decision be appealed? Yes! However, if the Head or the Dean stops an Optional Review, the decision to 'stop the process' is not subject to appeal.

OPTIONAL REVIEWS – TENURED FACULTY (I.E. POST-TENURE REVIEWS)

- At any time, the Head may make a recommendation for a promotion review and if the candidate agrees, a review shall be conducted.

- A review for promotion may be conducted in any year upon request by the candidate **EXCEPT** if a promotion is denied by the President, another optional review will not be conducted for 3 years from the time of submission.

FAQ: Can the Head override this prohibition? Yes, with the agreement of the candidate.

OPTIONAL REVIEWS – TENURED FACULTY (I.E. POST-TENURE REVIEWS) CONTINUED

- If an optional review is stopped by the University, only the Candidate may stop the next optional review.

FAQ: Are there any time-limits on this restriction? No.

FAQ: How are 'Stopped' Optional Reviews tracked? Departments and Schools need to track this.

- If an optional review is conducted past the point of obtaining referee letters, a review will not be conducted in the following year.

FAQ: Can the Head override this restriction? Yes, with the agreement of the candidate.

HEAD'S MEETING

- By June 30th, the Head must meet with all **pre-tenure faculty** annually.

- For tenured faculty, we encourage annual meetings or, at minimum, in the 2 years prior to an optional promotion review.

FAQ: Can a Division Head host these annual meetings? The task of reviewing tenured faculty may be delegated to Division Heads, but pre-tenured faculty must meet with the Department Head or School Director.

HEAD'S MEETING

- During candidate's first year of appointment, the Head will review criteria and expectations for reappointment/tenure/ promotion.

- Candidate must provide updated CV and other relevant information to Head before meeting.

HEAD'S MEETING

Purpose of meeting:

- Discuss timing of next review.

- Review criteria and expectations of the next review and means of assessment.

- Review of candidate's record including strengths and potential difficulties and where necessary, identify support.

- Relevant dossier documentation.

- Head and Candidate must agree, in writing, on matters discussed.

ELIGIBILITY TO BE CONSULTED

- Each Department / School is required to have documented procedures regarding consultation with the departmental standing committee for all appointment, reappointment, tenure and promotion cases.

- Initial (new) tenure stream hires: All tenured and tenure track members of the Department / School are eligible to be consulted.

- Reappointments, Promotions and Mandatory Tenure Reviews: Please see SAC Guide 6.2.3 on page 26.

TIMELINES

- Unless otherwise agreed, the faculty member's **finalized** dossier and all relevant documentation necessary for review must be submitted by **September 15th**.

FAQ: What options do we have should the candidate not submit their dossier on time? Can submissions after that date be refused?

'PRE-REVIEW' MEETING

- Utilize the window between spring and the submission deadline to have a "Pre-Review" Departmental Committee meeting.

- Candidates to submit:
    - draft CV;
    - Teaching Dossier (up-to-date)
    - list of potential referees.

- Departmental Standing Committee meets to:
    - Create the Departmental list of potential referees;
    - Identify the SPROT Representative;
    - Make suggestions to improve the candidate's CV;
    - Identify a potential Acting Head, if required due to conflict of interest with the candidate.

CONFLICTS WITH THE HEAD/ DIRECTOR

- If the Head / Director is in conflict with the candidate (i.e. Co-authored, Co-Investigator on a grant, Spouse), an Acting Head/ Director should be put in place for the entire review of the file.

- It is within the Acting Head's discretion to manage this conflict, with the main requirement being that the Acting Head must have a management plan in place.

- In some circumstances, the Acting Head may permit the Head/Director to participate as a voting member of the Standing Committee meeting.

REGIONAL ASSOCIATE DEAN INVOLVEMENT

- If a candidate works at a distributed site (i.e. NMP, IMP etc.) with dual report to the RAD:

    - the Department Head solicits a letter from the RAD outlining teaching and service contributions within context of available opportunities at the distributed site.

    - RAD's letter to be included as part of the file.

    - If serious concerns are raised in regards to Teaching and/or Academic Service, the usual process regarding serious concerns is to be followed and a copy of the RAD's letter must be provided to the candidate.

LETTERS OF REFERENCE

- All tenure and promotion cases require at least 4 letters of reference.

- The candidate provides 4 names, of which 2 must be solicited.

- The Head then consults with the departmental standing committee on choosing the final list of referees.

SELECTION OF REFEREES – P&T REVIEWS

- Referees must be in appropriate rank in order to assess the file.

- Referees are normally at a rank above the candidate's current rank, except in the rank of Professors.

FAQ: Can an Emeritus Professor serve as a referee? Yes, as long as they are able to comment on the scholarly activities of the candidate and have current relevant experience. The Department / School must be able to satisfactorily justify their choice.

- For the Educational Leadership stream, 2 should be external to UBC and the remaining external to unit.

REFEREES

Investigate any Conflicts of Interest:

- Check PubMed before contacting the referee and also after receiving the letter. Also check PubMed to ensure the Head is not in conflict with the candidate.

- If you are unsure whether a referee is in conflict, please seek clarification from the referee. Your request for clarification, and the referees response will need to be added to the file.

- If you are still unsure, please contact the FoM Dean's Office.

WHAT REFEREES RECEIVE

- The letter of request is only accompanied by the candidate's CV and selected materials relevant:

  - for the assessment of scholarly achievements (Professoriate Stream), **OR,**

  - for the assessment of the candidate's teaching effectiveness, educational leadership and curriculum development (Professor of Teaching Stream).

- Teaching dossiers are usually only included for cases involving Senior Instructor & Professor of Teaching.

LETTERS OF SOLICITATION

- Ensure that the Referee knows how the file is to be considered (traditional scholarship and/or scholarship of teaching and/or professional contributions).

- It must be clearly outlined if it is a 'blended' case (more than one type of scholarly activity).

- Ensure that the Referee is asked to explicitly state their recommendation.

- Always advise the referee if it is a mandatory tenure review.

- Use the **FoM Reference templates** to guide you (under review).

Did you know? The FoM now has a solicitation template for files that are a blend of Traditional and Professional Contributions.

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TENURE AND PROMOTION REVIEWS

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┌─────────────────────────────────┐        ┌─────────────────────────────────┐
│ Department Standing Committee   │        │ Department Standing Committee   │
│ meets after obtaining letters of│        │ votes & recommends to Head      │
│ reference                       │        │                                 │
└─────────────────────────────────┘        └─────────────────────────────────┘
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Serious concerns?

No

Yes – Do NOT vote

Candidate invited to respond in writing to serious concerns. Provide redacted copies of the letters of reference.
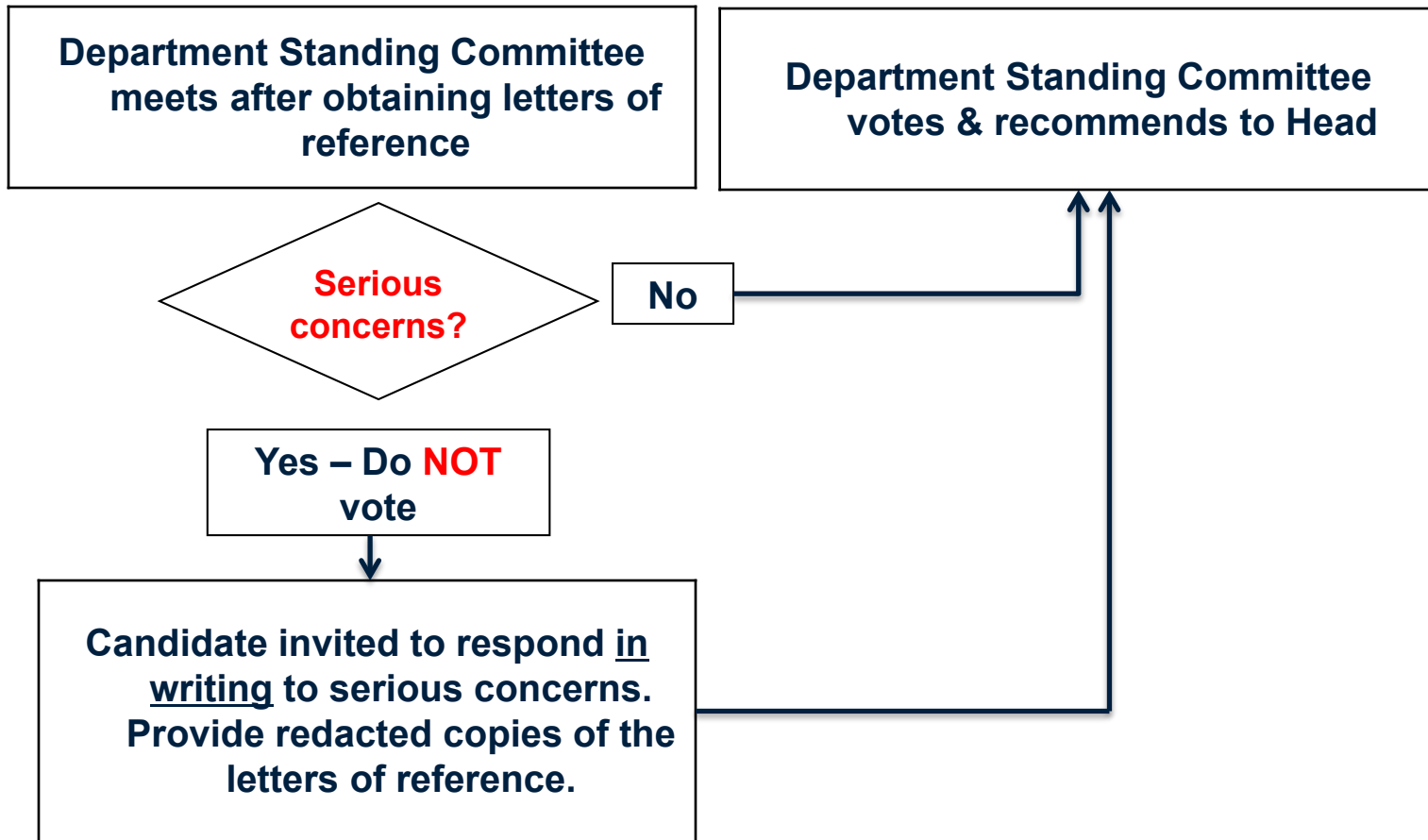
SERIOUS CONCERNS - DEFINED

Any time a Departmental or School Standing Committee Member is considering voting against promotion or against tenure.

SERIOUS CONCERNS - PROCESS

- If serious concerns are identified by the Departmental Standing Committee:

  - Voting **must** be deferred.
  - Head / Director must write to the candidate with:
    - a detailed summary of the specific concerns as they relate to the criteria;
    - an invitation to the candidate to respond in writing and introduce further relevant evidence;
    - copies of redacted letters of reference;
    - a deadline to respond.

SERIOUS CONCERNS - PROCESS

- Only once the response is received from the candidate, the Departmental Committee reconvenes and proceeds with voting.

- If the candidate chooses not to respond, the Departmental Committee reconvenes and proceeds with voting. This point should be explained within the Head / Director letter of recommendation to the Dean.

FAQ: The candidate hasn't responded – what do we do? As long as it is documented, we can move on.

TENURE & PROMOTION REVIEWS

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│          Head recommends to Dean          │
│                                           │
└─────────────────────────────────────────┘
                    │
                    ▼
┌─────────────────────────────────────────┐
│                                           │
│     Head notifies candidate in writing of │
│              recommendation               │
│                                           │
└─────────────────────────────────────────┘

              ╱─────────────────╲
             ╱   Standing Committee or ╲
            ╱      Head negative?      ╲
             ╲                         ╱
              ╲───────────────────────╱
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                  ┌─────────┐
                  │   Yes   │
                  └─────────┘
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│     Invited to respond in writing to Dean │
│                                           │
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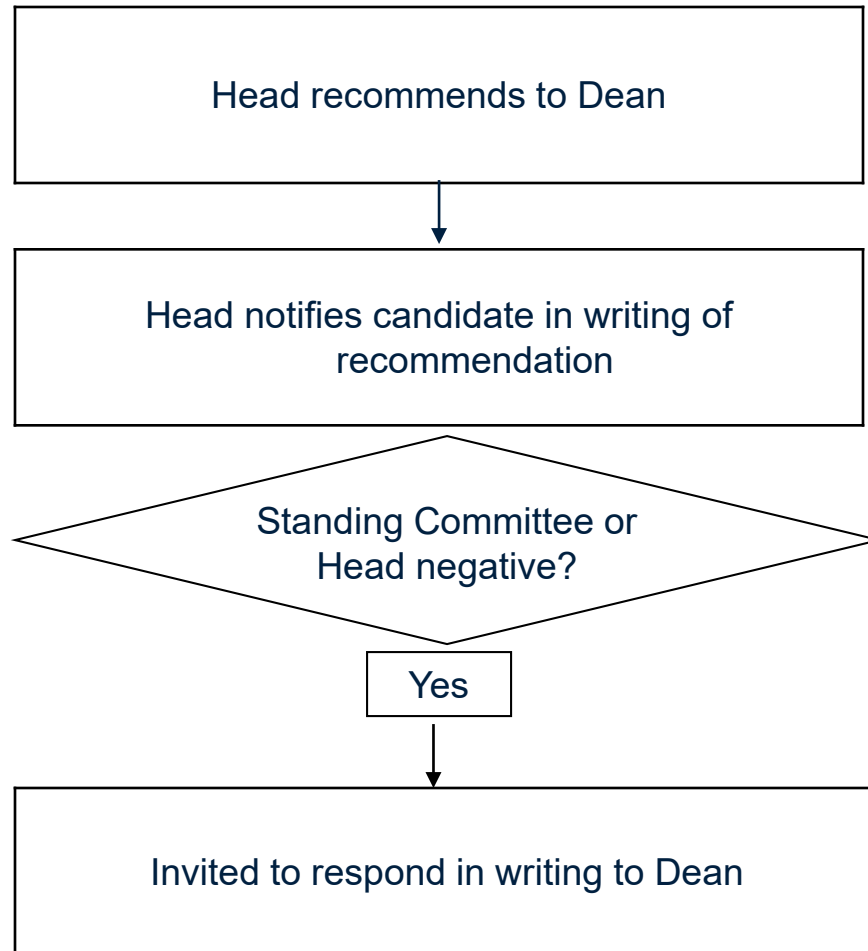
JOINT APPOINTMENTS

- For joint appointees, there are 2 ways the file can be reviewed for promotion. The chosen option should be specified in the candidate's letter of offer.

    - **Option 1 (Recommended):** Home Dept will be responsible for developing your dossier in consultation with the collaborating academic units, requesting letters from external referees, etc. The Standing Committees and Heads/Directors of both units will then consider the case independently, based on the same dossier.

    - **Option 2:** Home Dept will establish a Joint Advisory Committee. This committee will be responsible for developing the dossier, requesting letters from external referees, etc. The Advisory Committee will prepare a written report. The Standing Committees and the Heads/Directors of both units will then consider the case independently, based on the same dossier.

FAQ: Can the Joint Department Heads co-sign one letter of recommendation? No, not under current Collective Agreement. However, the proposed new Collective Agreement language has been amended to provide more flexibility.

TENURE & PROMOTION REVIEWS

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┌────────────────────────────────────────┐
│ Dean consults Faculty Advisory Committee │
│              (FARPT)                     │
└────────────────────────────────────────┘
                    │
                    ▼
              ◇ Serious ◇ ──── No ────▶ ┌──────────────────────────┐
              ◇ concerns? ◇             │ Dean recommends to President │
                    │                   └──────────────────────────┘
                   Yes                              ▲
                    │                               │
                    ▼                               │
┌────────────────────────────────┐                 │
│ Invited to respond in writing to Dean │───────────┘
└────────────────────────────────┘
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TENURE & PROMOTION REVIEWS

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│                             │        │                             │
│  Dean recommends to President│───────>│ Senior Appointments Committee│
│                             │        │                             │
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               │                                       │
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┌─────────────────────────────┐        ┌─────────────────────────────┐
│ Dean notifies candidate in  │        │                             │
│     writing of              │        │ Recommendation to President  │
│     recommendation          │        │                             │
└─────────────────────────────┘        └─────────────────────────────┘
               │
            ◇ Negative? ◇
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            ┌─────┐
            │ Yes │
            └──┬──┘
               ▼
┌─────────────────────────────┐
│ Invited to respond in writing│
│      to the President        │
└─────────────────────────────┘
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TENURE & PROMOTION REVIEWS

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┌─────────────────────────────────────┐
│              President               │
└─────────────────────────────────────┘
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           ╱   New Serious  ╲              ┌──────┐
          ╱     concerns?     ╲───────────▶│  No  │
           ╲                 ╱              └──────┘
              ╲─────────╱                      │
                   │                           │
              ┌────────┐                       │
              │  Yes   │                       │
              └────────┘                       │
                   │                           │
                   ▼                           ▼
┌──────────────────────────────────┐  ┌────────────────────────────────────┐
│ Invited to respond in writing     │─▶│ President notifies candidate of      │
│ to President                       │  │ decision                             │
└──────────────────────────────────┘  └────────────────────────────────────┘
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SUPPLEMENTING THE FILE

- The University and the candidate have the right to supplement the file with new info at any stage prior to the President's decision.

SPROT

- SAC will want to see a detailed summary, along with comparators

- The Faculty Committee and SAC like to be able to see trends, as well as how many evaluations the average or range is based upon

- Tabulated scores for each year and course, along with departmental norms, where available is helpful for the review (i.e. table format is sometimes easiest)

STREAMLINED PROCESS

- To be used in extraordinary circumstances and for new Senior Leader hires only. E.g. Department Head, President Excellence Chair.

- Faculty Affairs confirms with Faculty Relations whether the Streamlined Process can be used.

- The Streamlined Committee includes:

    - Head;

    - The Department Standing Committee;

    - Representative from FARPT;

    - Representative from SAC (who will recuse themselves from the vote).

- The Head, the SAC Rep, and the Dean each write a letter of recommendation to the President.

Questions??

THE UNIVERSITY OF BRITISH COLUMBIA