



## Regulations Relating to the Employment of Tenure Track and Tenured Academic Staff

Last revised by:

Senate:	October 19, 2016	Minute IIB3
Executive Committee:	October 28, 2016	Minute 6.2

*Full legislative history appears at the end of this document.*

### SECTION 1. SCOPE

- 1.1 The regulations herein set out the general terms of employment by the University of tenure track and tenured staff, relating to appointment, reappointment, tenure, promotion.
- 1.2 These regulations do not apply to academic staff governed by Regulations Relating to the Employment of Librarian Staff and the Regulation Relating to the Employment of Contract Academic Staff, or by a collective agreement.
- 1.3 All appointments, renewals of appointment, and reappointments are made by the Board of Governors in accordance with Article 1.3.1 of the University Statutes and confirmed by a letter, referred to as the “official letter of appointment” (hereafter “OLA”), in accordance with the *Regulations Relating to the Approval of Contracts and Signing Authority*.

### SECTION 2. DEFINITIONS

- 2.1 “Academic Year” means the period from the 1st of September to the 31st of August next following.
- 2.2 “Advisor” means a member of the University community who has agreed to act in an advisory capacity to a member of the academic staff. Such individuals act in accordance with these regulations and are deemed, in so doing, to perform part of their Academic Duties. They do so without receiving additional remuneration. An Advisor shall be accorded full respect by the University’s administrative officers.
- 2.3 “Definite term appointment” means an appointment of limited duration with a fixed end date.
- 2.4 “Department” means departments, institutes, schools, centres and faculties without departments.
- 2.5 “Departmental Chair/Chair of Department” means chairs of departments, directors of institutes, schools and centres, and Deans of faculties without departments.
- 2.6 “Indefinite term appointment” means an appointment of unlimited duration without a fixed end date.
- 2.7 “Joint appointment” means an appointment to more than one Department and/or faculty, as indicated in the OLA.
- 2.8 “MAUT” means McGill Association of University Teachers.
- 2.9 “The Principal” means the Principal of McGill University, appointed under the Charter and Statutes thereof.
- 2.10 For the purposes of these regulations, “staff member” means a member of the academic staff, other than:
  - (i) staff appointed under the regulations Relating to the Employment of Contract Academic Staff;
  - (ii) staff appointed under the regulations Relating to the Employment of Librarian Staff; or
  - (iii) staff covered by any collective agreement.
- 2.11 “Tenure track appointment” means an appointment for a definite term that may lead to consideration for tenure.
- 2.12 All references to Deans, Chairs, the Provost, the Principal, and the Secretary General include their delegates, unless otherwise indicated.

### **SECTION 3. NOTICES**

- 3.1 Any notice required to be communicated under these regulations may be communicated by email and either:
- (i) delivery to the staff member's office at the University; or (ii) registered mail to the staff member's address recorded with the University administration.
- 3.2 Any notice sent in accordance with these regulations shall be deemed to be received by the staff member on the earlier of:
- (i) the day it was sent by e-mail;
  - (ii) the day it was delivered; or
  - (iii) the fourth day after mailing.

### **SECTION 4. ACADEMIC DUTIES**

- 4.1 "Academic Duties" include:
- (i) teaching (such as graduate and undergraduate courses, supervision of individual students and assessment of student work);
  - (ii) research and other original scholarly activities, and professional activities; and
  - (iii) other contributions to the University and scholarly communities.
- 4.2 A staff member shall be engaged throughout the Academic Year primarily in the staff member's Academic Duties. Staff members shall be available for such duties at the University at such times as teaching, research, administrative or other Academic Duties, including student assessment, counseling and registration, may require. As a minimum, staff members shall be available from the first day of September to the day following the spring convocation.
- 4.3 The allocation of Academic Duties is the responsibility of the Departmental Chair, who shall consult with the Dean to take into account the pattern of such allocation within the department, faculty, and University.

### **SECTION 5. CLASSIFICATIONS AND RANKS**

- 5.1 A staff member shall be appointed full-time to one of the following ranks:
- (i) Assistant Professor;
  - (ii) Associate Professor;
  - (iii) Professor.
- 5.2 The full-time academic staff of the University consists only of those persons who are designated Full Time or Full-Time (Reduced Load) in their OLA.
- 5.3 Other than a staff member who holds a joint appointment, no staff member may at any one time hold more than one appointment under:
- (i) these Regulations;
  - (ii) the Regulations Relating to the Employment of Contract Academic Staff; or
  - (iii) the Regulations Relating to the Employment of Librarian Staff.
- 5.4 A staff member holding a full-time appointment may not hold employment with another employer.

### **SECTION 6. APPOINTMENT AND REAPPOINTMENT**

#### **Appointment and Termination**

- 6.1 A staff member shall be appointed:
- (i) on tenure track, for a definite term; or
  - (ii) with tenure, for an indefinite term;
- The rank and the term of the appointment shall be designated in the OLA.
- 6.2 All appointments shall be made by the Provost, and confirmed in the OLA, upon the recommendation of the Dean. These appointments shall be recommended to the Dean by

the Departmental Chair and an appropriate departmental committee.

- 6.3 Where a staff member is to be appointed in more than one faculty or department, appointments shall be made by the Provost upon the recommendation of the relevant Dean(s). These appointments shall be recommended to the Dean(s) by the Departmental Chairs and appropriate departmental committees.
- 6.4 Notification of termination of appointment of a staff member on a tenure track appointment shall be given at least 37 weeks before the termination date of the staff member's current appointment. In the event that notification has not been given as herein prescribed, the appointment shall be extended for one (1) year.

#### **Assistant Professor (Special Category)**

- 6.5 Subject to conditions specified in the OLA, a staff member may be appointed to a pre tenure track appointment as Assistant Professor (Special Category) for a definite term of one (1) year.
- 6.5.1 Conditions governing the appointment of an Assistant Professor (Special Category) shall consist of:
- (i) awaiting the award of a doctoral degree;
  - (ii) awaiting certification required by a profession; or
  - (iii) awaiting completion of professional licensing requirements.
- 6.5.2 On fulfillment of the conditions specified in the OLA, an Assistant Professor (Special Category) may be appointed to a tenure track appointment as Assistant Professor, on either January 1 or August 1, whichever date immediately follows the fulfillment of the specified conditions.

#### **Terms of Appointment and Reappointment**

##### ***Assistant Professors***

- 6.6 An Assistant Professor on tenure track shall initially be appointed for at least 3 but less than 4 years.
- 6.6.1 An Assistant Professor may be reappointed at this rank for up to 3 years, provided that the appointment and reappointments shall not exceed in aggregate 7 years.
- 6.6.2 No later than the sixth year as an Assistant Professor, the staff member shall be considered for tenure and promotion to Associate Professor, in accordance with the provisions of Section 7.
- 6.6.3 Subject to the foregoing, an Assistant Professor who has been denied tenure upon mandatory consideration for tenure in her or his sixth year may be reappointed for up to one additional year if required to provide for notice of termination under these regulations.

##### ***Associate Professors***

- 6.7 An Associate Professor shall be appointed:
- (i) on an initial tenure track appointment of at least 3 but less than 4 years; or
  - (ii) with tenure.
- 6.7.1 An Associate Professor may be reappointed at this rank at this rank for up to 3 years, provided that the appointment and reappointments shall not exceed in aggregate 6 years.
- 6.7.2 No later than the fifth year as an Associate Professor, the staff member shall be considered for tenure in accordance with the provisions of Section 7.
- 6.7.3 Subject to the foregoing, an Associate Professor who has been denied tenure upon mandatory consideration for tenure in her or his fifth year may be reappointed for up to one additional year if required to provide for notice of termination under these regulations.

##### ***Professors***

- 6.8 A Professor shall be appointed:
- (i) on an initial tenure track appointment of at least 5 years but less than 6 years; or
  - (ii) with tenure.
- 6.8.1 No later than the fourth year as Professor, the staff member shall be considered for tenure, in accordance with the provisions of Section 7.
- 6.8.2 Subject to the foregoing, a Professor who has been denied tenure upon mandatory

consideration for tenure in the fourth year may be reappointed for up to one additional year if required to provide for notice of termination under these regulations.

#### **Timing of Reappointment Consideration**

- 6.9 Assistant Professors and Associate Professors on tenure track appointments shall be considered for reappointment during the final contract year of their initial appointment (“year of reappointment consideration”).
- 6.10 Where a staff member has been granted an authorized leave for a period of 3 months or more prior to the beginning of the year of reappointment consideration, the staff member may request a delay of consideration for reappointment.
- 6.10.1 The staff member shall make this request in writing to the Provost, with a copy to the Departmental Chair, within 3 months prior to the beginning of the staff member’s year of reappointment consideration.
- 6.10.2 An extension shall be considered on a case-by-case basis and granted at the Provost’s discretion. Where granted, the Provost shall confirm:
- (i) the length the extension granted and, as applicable, the new year of reappointment consideration;
  - (ii) any extension to the definite term contract; and
  - (iii) such other conditions as are deemed necessary.
- 6.10.3 The Provost’s decision shall be confirmed in writing no later than 2 months prior to the beginning of the staff member’s year of reappointment consideration.

#### **Due Diligence**

- 6.11 It is the responsibility of staff members to prepare and pursue their case for reappointment.

#### **Reappointment Criteria**

- 6.12 Recommendations relating to reappointment shall be based on the staff member’s performance of Academic Duties as defined in Section 4.1 and on whether the staff member’s dossier discloses satisfactory progress and promise of meeting the tenure criteria set out in Section 7.
- 6.12.1 Each department shall establish written criteria for the reappointment of Assistant Professors and Associate Professors. These criteria shall provide staff members with guidance in anticipation of meeting the requirements for reappointment and tenure.
- 6.12.2 The criteria for reappointment shall be approved by the Dean of the faculty who shall consult with an appropriate committee of the faculty prior to their approval.
- 6.12.3 The criteria for reappointment shall be communicated in writing to the staff member by the Departmental Chair within 2 months of the staff member’s initial appointment.

#### **Reappointment Dossier**

- 6.13 At the time of consideration for reappointment the staff member shall provide the Departmental Chair with the necessary information and documentation (the “dossier”) to support the case for reappointment.
- 6.13.1 Staff members shall be guided in the preparation of their dossier by the requirements for a tenure dossier as set out in Section 7.

#### **Reappointment Process**

- 6.14 A staff member’s case for reappointment shall be considered by:
- (i) an appropriate committee of the department chaired by the Departmental Chair. Where a candidate has been appointed in the OLA in two or more departments, this committee shall have representation from all relevant departments and the chair shall be determined by the Departmental Chairs.
  - (ii) the Dean or, in the case of joint appointments to more than one faculty, the Deans; and
  - (iii) the Provost.
- 6.14.1 Where the departmental committee is tending towards recommending non-renewal of the appointment, the committee shall, prior to making a recommendation, provide the staff member with written reasons and an opportunity to appear before the committee

- accompanied by an Advisor, if he or she so wishes, to address the committee's concerns.
- 6.14.2 The departmental committee shall submit a written report containing substantive reasons to the Dean, with a copy to the staff member, recommending either reappointment for a further definite term, in accordance with these regulations, or the non-renewal of the staff member's appointment.
- 6.14.3 Where the Dean is tending towards recommending non-renewal of the appointment, the Dean shall, prior to making a recommendation:
- (i) notify the staff member and the Departmental Chair in writing that he or she is so tending, providing substantive reasons; and
  - (ii) provide the staff member with an opportunity to meet with him or her, accompanied by an Advisor, if the staff member so wishes, prior to reaching a final decision. The meeting shall take place within 15 working days from the notice provided herein.
- 6.14.4 The Dean shall submit a written recommendation with substantive reasons to the Provost, with a copy to the staff member and the Departmental Chair, containing either:
- (i) a recommendation for reappointment for a further definite term in accordance with these regulations; or
  - (ii) a recommendation for the non-renewal of the staff member's appointment.
- 6.14.5 Where the Provost is tending towards non-renewal of the appointment, the Provost shall, prior to reaching a decision:
- (i) notify the staff member, the Departmental Chair and the Dean in writing that he or she is so tending, providing substantive reasons;
  - (ii) provide the staff member with an opportunity to meet with him or her, accompanied by an Advisor, if the staff member so wishes, prior to reaching a final decision. The meeting shall take place within 15 working days from the notice provided herein.
- 6.14.6 Within 25 working days of the Provost receiving a recommendation from the Dean, the Provost shall provide the staff member, the Departmental Chair and the Dean with a written decision either for:
- (i) reappointment for a further definite term in accordance with these regulations; or
  - (ii) non-renewal of the staff member's appointment.

## **SECTION 7. TENURE**

### **Preamble**

- 7.1 Staff members on tenure track appointments at McGill University and persons being appointed to tenure track positions under these regulations who already hold academic appointments at other universities or scholarly institutions are eligible for consideration for tenure in accordance with Section 7.

### **Timing of Consideration for Tenure**

- 7.2 The calculation of years of service for tenure consideration shall begin June 1 of the calendar year of first appointment to tenure track.
- 7.3 For purposes of these regulations the "year of tenure consideration" shall be defined as the thirteen month period from May 1 to May 31 of the following calendar year.

### **Mandatory Consideration for Tenure**

- 7.4 A staff member holding a tenure track appointment shall proceed to mandatory consideration for tenure as follows:
- (i) every Assistant Professor shall be considered for tenure and promotion to the rank of Associate Professor no later than during the sixth academic year of appointment to the rank of tenure track Assistant Professor.
  - (ii) every Associate Professor shall be considered for tenure no later than during the fifth academic year of appointment to that rank;
  - (iii) every Professor shall be considered for tenure no later than during the fourth academic year of appointment to that rank.

### **Periods of Authorized Leaves**

- 7.5 The staff member shall elect whether to include or exclude periods of authorized leave as periods of service for tenure consideration, provided that:
- (i) such leaves are longer than 3 consecutive months;
  - (ii) such leaves have been taken prior to the year of tenure consideration.
- 7.5.1 A staff member's election shall be communicated in writing to the Provost, with a copy to the Departmental Chair and Dean, no later than June 1 of the year in which the staff member would normally be subject to mandatory tenure consideration.
- 7.5.2 The staff member's appointment may be extended for a maximum of one year per authorized leave, provided that such leaves occurred in different years. Nevertheless, a staff member shall be entitled to no more than two extensions of tenure consideration in total. The period of extension shall be confirmed in writing by the Provost.

### **Early Consideration**

- 7.6 A staff member is entitled to one early consideration for tenure at her or his own request, as follows:
- (i) Assistant Professors in the third or subsequent year of a tenure track appointment;
  - (ii) Associate Professors at any time;
  - (iii) Professors at any time.
- 7.6.1 Nevertheless, the Department may, with the consent of the Assistant Professor, initiate such consideration at any time.
- 7.6.2 Any staff member who wishes to initiate early consideration for tenure shall so notify the Chair and Dean in writing no later than April 15 of the year in which the staff member wishes to be considered.
- 7.6.3 Where the staff member has been appointed in the OLA in more than one academic unit, the written notification shall be submitted to all relevant Chairs and Deans.
- 7.6.4 Staff members undergoing early tenure consideration shall be considered together with the tenure cohort of the year of tenure consideration commencing in May following the request.
- 7.6.5 A staff member whose application for early tenure has been unsuccessful shall be considered again in the mandatory year of tenure consideration for his or her rank.
- 7.7 The Dean of each faculty shall notify the Secretary-General in writing by May 1 of the names of all staff members who shall be considered for tenure during that year of tenure consideration, including those who have requested early consideration for tenure.
- 7.7.1 It is the responsibility of Deans to ensure that the deadline stipulated in this Section is respected.
- 7.8 The effective date of a grant of tenure shall be June 1 of the calendar year in which the grant of tenure is approved by the Board of Governors.

### **Due Diligence**

- 7.9 It is the responsibility of the staff member being considered for tenure (herein, "the candidate") to prepare and pursue her or his case for tenure.

### **Tenure Criteria**

- 7.10 Each department shall establish written criteria which provide staff members with guidance in anticipation of meeting the requirements for tenure.
- 7.10.1 The criteria for tenure shall be approved by the Dean of the faculty who shall consult with an appropriate committee of the faculty prior to their approval.
- 7.10.2 The criteria for tenure shall be communicated in writing to the staff member by the Departmental Chair within 2 months of the staff member's initial appointment.
- 7.11 The Departmental Tenure Committee (hereafter "DTC") and the University Tenure Committee (hereafter "UTC") and the Principal or delegate shall base their recommendations on the candidate's performance of Academic Duties.

- 7.11.1 The minimum requirement for the granting of tenure shall be:
- (i) superior performance in two categories of Academic Duties set out in Section 4.1; and
  - (ii) reasonable performance in the remaining category of Academic Duties set out in Section 4.1.

**Tenure Dossier**

- 7.12 The “tenure dossier” shall consist of the following documents:
- (i) the “internal package”, which shall be compiled by the candidate and includes:
    - a) the candidate’s curriculum vitae;
    - b) the candidate’s personal statement in support of her or his candidature;
    - c) a record of the candidate’s research, scholarship and professional activities and contributions;
    - d) a record of the candidate’s teaching (including graduate and professional supervision as appropriate). Information about the candidate’s teaching shall be prepared in accordance with the Teaching Portfolio Guidelines (Appendix A);
    - e) a record of the candidate’s general contributions to the University and scholarly communities;
    - f) any other materials the candidate may wish to submit;
  - (ii) all reports received from external evaluators;
  - (iii) the list of external evaluators and the written justification for the choice of each of them;
  - (iv) additional items submitted in accordance with these regulations.
- 7.12.1 The “external package” consists of the same documents as the internal package, with the exception of information about the candidate’s teaching.
- 7.12.2 By September 1 of the year of tenure consideration, the candidate shall submit the internal package and the external package to the Secretary-General in electronic form. The Secretary General shall forthwith make available:
- (i) the internal package to the DTC and the UTC; and
  - (ii) the external package to the external evaluators.

***Adding Items to the Tenure Dossier***

- 7.13 A candidate may not add additional material to the external package after September 1.
- 7.14 Until November 15 of the year of tenure consideration, and provided the DTC has not finalized its recommendation, the chair of the DTC may add items to complete the candidate’s tenure dossier. The candidate shall be given a copy of any item that has been added, and shall be allowed to prepare a written response, which shall be included in the tenure dossier.
- 7.14.1 The chair of the DTC shall provide the Secretariat with a copy of any added items, which shall be included in the tenure dossier.
- 7.15 Until November 15 of the year of tenure consideration the candidate may submit additional material on research and other original scholarly activities, with written explanation, to the chair of the DTC.
- 7.15.1 After November 15 of the year of tenure consideration, at the request of the DTC, the UTC or the Principal, new evidence relating to any category of Academic Duties may be submitted by the candidate, but only to clarify an issue that arises during the course of the deliberations.
- 7.15.2 The candidate shall file with the Secretariat a copy of all additional material submitted, which shall be included in the tenure dossier.

### **External Evaluators**

- 7.16 In addition to evaluation by the members of the DTC and the UTC, the research and scholarship of each candidate for tenure shall be evaluated by three persons (hereafter referred to as "external evaluators") who are:
- (i) not in the employ of the University,
  - (ii) of recognized standing and accomplishment; and
  - (iii) qualified to provide an evaluation of the candidate's research and scholarship.
- 7.16.1 Prior to May 1 of the year of tenure consideration, the Chair of the department and the candidate shall mutually agree upon a ranked list of eight external evaluators, which list shall be approved by the UTC.
- 7.16.2 Where the candidate holds appointment in two or more departments, the eight proposed external evaluators shall be mutually agreed upon by the Chairs of the relevant departments and the candidate.
- 7.16.3 If no agreement is reached as to the proposed list of external evaluators, the UTC shall make up the list from the names submitted by the candidate and the Chairs of the relevant departments.
- 7.16.4 The Chair of the department and the candidate shall provide a written justification for the choice of each proposed external evaluator and this document shall form part of the candidate's tenure dossier.
- 7.16.5 In the case of a candidate who holds appointments in two or more departments, the written justifications shall be provided by the Chairs of the relevant departments and the candidate.
- 7.16.6 Proposed external evaluators shall not be current or former thesis or research supervisors, students, or individuals with whom the candidate has or has had a close personal or professional relationship, nor individuals who, in the past six years, have been departmental colleagues or collaborators of the candidate.
- 7.16.7 If the Chair of a department, the Dean or the candidate has requested recommendations from a proposed external evaluator during the two years immediately preceding the year of tenure consideration, this fact shall be noted on the list. The candidate shall signify on the list that she or he was aware of this fact when agreeing to the list.
- 7.17 No later than May 1 of the year of tenure consideration, the Chair of the department shall forward to the chair of the UTC and to the Secretary-General the following documents:
- (i) a list of eight proposed external evaluators;
  - (ii) the written justification for the choice of each proposed external evaluator;
  - (iii) the candidate's current CV.
- 7.17.1 The UTC shall rank the eight proposed external evaluators in order of preference and the chair of the UTC shall forward a copy of the ranked list to the Secretary-General by June 30 of the year of tenure consideration, with a copy to the candidate and the Chair of the department.
- 7.17.1.1 It is the responsibility of the chair of the UTC to ensure that the deadline stipulated herein is respected.
- 7.17.2 The Secretary-General shall request evaluations from individuals on the ranked list in descending order until three external evaluators have agreed to serve.
- 7.17.2.1 In the event that fewer than three external evaluators are able to serve, the Secretary-General shall request the candidate and the Departmental Chair(s) to submit a further list of names equal to twice the number of external evaluators required.
- 7.17.3 The Secretary-General shall ask each external evaluator to provide an evaluation of the candidate's research, scholarly and professional activities, and contributions to scholarly and professional communities, and to submit the evaluation by November 20 of the year of tenure consideration.
- 7.17.4 External evaluations shall not be sought or considered from any other evaluators.
- 7.17.5 No member of the University community other than the Secretary-General shall contact any external evaluator in regard to the candidate.
- 7.17.6 By November 25 of the year of tenure consideration the Secretary-General shall transmit



- the external evaluator reports to the DTC and UTC.
- 7.17.7 External evaluations received after November 25 shall be submitted to:  
 (i) the DTC but only if it has not completed its consideration of the merit of the candidate's case; and  
 (ii) the UTC, but only if it has not completed its consideration of the merit of the candidate's case.
- 7.17.8 If the DTC or the UTC is tending to a negative recommendation, the Secretary-General shall provide the candidate with a copy of the external evaluations with nominative information removed, as prescribed by applicable legislation.

**Process: Tenure Committees**

- 7.18 The case of each candidate shall be considered by a DTC and a UTC.
- 7.18.1 In faculties without departments there shall be established in accordance with these regulations a committee called the DTC.
- 7.18.2 No later than June 15 of the year of tenure consideration, the candidate and the Secretary-General shall be informed of the composition of the DTC by the Department Chair(s).
- 7.18.3 No later than September 1 of the year of tenure consideration, the candidate shall be informed of the composition of the UTC by the Secretary-General.
- 7.18.4 Reasonable efforts shall be made to give due consideration to the gender representation of the tenured academic staff of the department and the faculty when selecting members for the DTC and the UTC.
- 7.18.5 No committee member shall serve at more than one level of the tenure consideration process of any one candidate in the same year of tenure consideration.
- 7.18.6 The DTC shall make a recommendation to the UTC regarding the granting of tenure to the candidate based on the criteria in Section 7.11 and 7.11.1 and, in doing so, shall represent the judgment of the academic units in which the candidate has been appointed in the OLA.
- 7.18.7 The UTC shall make a recommendation to the Principal regarding the granting of tenure to the candidate based on the criteria set out in Section 7.11 and 7.11.1.
- 7.18.8 Except as provided for in these regulations neither members of the DTC, nor members of the UTC, nor the Principal or delegate shall consult outside the University concerning any candidate's consideration for tenure.

***Departmental Tenure Committee: Chair***

- 7.19 The DTC shall normally be presided over by the Chair of the department in which the candidate holds appointment.
- 7.19.1 In faculties with no departments, the chair of the DTC shall be chosen from amongst members of the tenured academic staff of the faculty, excluding the Dean, associate deans, vice-principals, associate vice-principals, the Provost, the Deputy Provost, and associate provosts, by an established documented collegial process approved by the Dean of the faculty.
- 7.19.2 In departments where the Chair is not tenured, or is unable to chair the DTC, or is disqualified for cause or conflict of interest, the chair of the DTC shall be chosen from amongst members of the tenured academic staff of the department, excluding the Dean, associate deans, vice-principals, associate vice-principals, the Provost, the Deputy Provost, and associate provosts, by an established documented collegial process approved by the Dean of the faculty.
- 7.19.3 Where a candidate has been appointed in the OLA in two or more departments, the Chairs of the relevant departments and/or the persons chosen under Section 7.19.1 or 7.19.2 shall consult amongst themselves and decide who shall chair the DTC.
- 7.19.3.1 If no agreement is reached by the Chairs, the chair of the DTC shall be chosen by the Dean or Deans of the faculty or faculties in which the candidate holds appointment.
- 7.19.3.2 If no agreement is reached by the Deans, the chair of the DTC shall be chosen by the Provost.
- 7.19.4 Under exceptional circumstances a Dean from a faculty other than that in which the candidate is appointed shall preside over the DTC if Senate so orders.
- 7.19.5 The chair of the DTC shall have both voice and vote.

***Departmental Tenure Committee: Membership***

- 7.20 The DTC for a candidate who is appointed in a single department shall be composed of the chair and at least four other members of the department, who shall be chosen from amongst tenured academic staff members through an established documented collegial process appropriate to the department and approved by the Dean of the faculty. Two alternate committee members shall also be chosen in accordance with the same procedures.
- 7.20.1 In faculties with no departments, members of the DTC shall be chosen from amongst members of the tenured academic staff holding an appointment in the faculty, excluding the Dean, associate deans, vice-principals, associate vice-principals, the Provost, the Deputy Provost, and associate provosts, by an established documented collegial process appropriate to the faculty and approved by the Dean of the faculty.
- 7.20.2 In departments unable to fill places on the DTC due to an insufficient number of available tenured staff members, the Dean of the faculty, using an established documented collegial process appropriate to the faculty, shall select members of the tenured academic staff from within the faculty, excluding the Dean, associate deans, vice-principals, associate vice-principals, the Provost, the Deputy Provost, and associate provosts, to make up the balance of the DTC.
- 7.20.3 In a faculty without departments that is unable to fill places on the DTC due to an insufficient number of available tenured staff members, the Provost, using an established documented collegial process appropriate to the University and approved by the Provost, shall select members of the tenured academic staff from the University, excluding Deans, associate deans, vice-principals, associate vice-principals, the Provost, the Deputy Provost, and associate provosts, to make up the balance of the DTC.
- 7.20.4 The documented collegial processes herein referred to shall be publicly available at the commencement of the tenure consideration process in each year of tenure consideration, and candidates shall be made aware of the location of this documentation.
- 7.20.5 Where a candidate has been appointed in the OLA in two or more departments, the composition of the DTC shall be determined by the Departmental Chairs.
- 7.20.5.1 If no agreement is reached by the Chairs, the composition of the DTC shall be determined by the Dean or Deans.
- 7.20.5.2 If no agreement is reached by the Deans, the composition of the DTC shall be determined by the Provost.
- 7.20.6 In the event that a member of the DTC is unable to consider the case of a candidate, or is disqualified for cause, an alternate member of the committee shall fill the vacancy, but only in cases where there has been no meeting at which consideration of the merit of the candidate's case for tenure has taken place.
- 7.20.7 In the event that a member of the DTC is absent from a meeting at which the merit of a candidate's case for tenure is considered, that member shall not participate in further consideration of that candidate's case for tenure.
- 7.20.8 Where there has been a meeting at which consideration of the merit of a candidate's case for tenure has already commenced, a vacancy shall remain unfilled, and the DTC shall continue its consideration of the candidate's case for Tenure with the remaining members.
- 7.20.9 Insofar as it is otherwise permissible under these regulations, the DTC hearing the cases of candidates from the same department in a given year of tenure consideration shall be composed of the same persons.

***University Tenure Committee: Chair***

- 7.21 The UTC shall normally be presided over by the Dean of the faculty in which the candidate has been appointed.
- 7.21.1 At the commencement of each year of tenure consideration, the Dean shall propose, from amongst the tenured members of the academic staff of each UTC for that faculty, an alternate chair to serve in the event that the Dean is not tenured, is unable to chair the UTC, or is disqualified for cause or conflict of interest. Alternate chairs shall be approved by the Nominating Committee.
- 7.21.2 Where a candidate has been appointed in the OLA in two or more departments and/or faculties without departments, the Deans of the relevant faculties shall consult and decide who shall chair the UTC.

- 7.21.2.1 If no agreement is reached, the chair of the UTC shall be chosen by the Provost.
- 7.21.3 Under exceptional circumstances a Vice-Principal or Deputy Provost with tenure may preside over the UTC if Senate so orders.
- 7.21.4 The chair of the UTC shall have both vote and voice.

**University Tenure Committee: Membership**

- 7.22 The Dean of each faculty shall appoint one or more UTCs; the number of UTCs shall be decided upon by the Dean and shall be sufficient to deal with the year's cohort of tenure candidates. Each UTC shall, in addition to the Dean, consist of five members.
  - 7.22.1 Where the Dean of a faculty has appointed more than one UTC, the Dean, in consultation with the Secretary-General, shall decide which UTC shall consider the case of each candidate. However, all candidates from the same department shall be considered by the same UTC.
  - 7.22.2 By May 15 of the year of tenure consideration, the Dean shall appoint the first two members of each UTC from a list of six tenured members of the faculty (the "faculty list"). The faculty shall determine the manner in which the members of the faculty list are selected. Membership of the faculty list shall be for a two-year renewable term.
  - 7.22.3 No member of the UTC shall hold an appointment in the same department or departments as the candidate.
  - 7.22.4 Where a candidate holds appointments in two or more faculties, the Deans of the faculties shall consult and, by May 15 of the year of tenure consideration, agree on the composition of the UTC from the faculty lists.
    - 7.22.4.1 If no agreement is reached by the Deans, the Provost shall decide upon the composition of the UTC from the faculty lists.
  - 7.22.5 By May 30, the Secretary-General shall appoint the other three members to each UTC from the list approved by Senate (the "Senate list"). The Senate list shall be composed of:
    - (i) for each faculty with departments, nine tenured members of the academic staff who do not hold appointment in that faculty; and
    - (ii) for each faculty without departments, six tenured members of the academic staff who do not hold appointment in that faculty.
 Membership of the Senate list shall be for a three-year renewable term.
  - 7.22.6 No members of a UTC appointed by the Secretary-General shall hold appointment in the same faculty.
  - 7.22.7 Appointments to UTCs from the Senate list shall be based on a system of regular rotation and take into account the availability of the members of the academic staff on the list.
  - 7.22.8 In the event that a member of the UTC is unable to consider the case of a candidate, or is disqualified for cause, the vacancy shall be filled by a member selected from the faculty list or the Senate list, as appropriate, but only in cases where there has been no meeting at which consideration of the merit of a candidate's case for Tenure has taken place.
  - 7.22.9 In the event that a member of the UTC is absent from a meeting at which the merit of a candidate's case for tenure is considered, that member shall not participate in further consideration of that candidate's case for tenure and the UTC shall continue its consideration with the remaining members.
  - 7.22.10 Where there has been a meeting at which consideration of the merit of a candidate's case for tenure has already commenced, a vacancy shall remain unfilled, and the UTC shall continue its consideration of the candidate's case for tenure with the remaining members.
  - 7.22.11 Senate, itself or through a committee, shall determine any challenge by a candidate for cause and any other question with regard to the composition and the procedures of the UTC.

**Process: Deliberations**

**Deliberations: Departmental Tenure Committee**

- 7.23 If, after considering the candidate's tenure dossier, the DTC concludes that the criteria for the grant of tenure have been met by the candidate, it shall recommend to the UTC that the candidate be granted Tenure.
  - 7.23.1 If, after considering the candidate's tenure dossier, the DTC is tending towards making a

negative recommendation, it shall notify the candidate in writing of its reasons therefore, with a copy to the Secretary-General, and provide the candidate, accompanied by an advisor if she or he wishes, with the opportunity to address the Committee, prior to its arriving at its final recommendation.

- 7.23.2 If, after having provided the candidate with the opportunity to address it, the DTC concludes that the criteria for the grant of Tenure have been met by the candidate, it shall recommend to the UTC that the candidate be granted tenure.
- 7.23.3 If, after having provided the candidate with the opportunity to address it, the DTC concludes that the criteria for the grant of tenure have not been met by the candidate, it shall recommend to the UTC that the candidate not be granted tenure.
- 7.23.4 The DTC shall communicate its report and recommendation, with written reasons, concerning the candidate's tenure to the Secretary-General as soon as possible but no later than January 25 of the year of tenure consideration, on forms provided by the University Secretariat. The Secretary-General shall forthwith transmit copies of the report and recommendation to the candidate and to the UTC.
- 7.23.5 It is the responsibility of the chair of the DTC to ensure that this deadline is respected; nevertheless should the DTC fail to meet the specified delay, it shall remain seised of the matter before it.

***Deliberations: University Tenure Committee***

- 7.24 The UTC shall start its consideration of the candidate's case as soon as it receives the DTC report and recommendations from the Secretary-General.
- 7.25 If, after considering the candidate's tenure dossier and the DTC report, the UTC concludes that the criteria for grant of Tenure have been met, it shall recommend to the Principal that the candidate be granted tenure.
- 7.25.1 If the UTC is unable to recommend tenure because of lack of information on the candidate's research, teaching or other contributions to the University and scholarly communities, it may, at its discretion, seek further information from the Chairs of the departments in which the candidate has been appointed.
- 7.25.2 If the UTC is unable to recommend tenure because of lack of information on the candidate's research and other scholarly work it may, at its discretion, seek the opinion of one or more additional external evaluators from the agreed-to list.
- 7.25.3 Additional information received shall be added to the candidate's tenure dossier and the chair of the UTC shall transmit a copy of the information to the chair of the DTC and the candidate. The candidate may prepare a written response which shall be included in the tenure dossier.
- 7.26 If, after considering the candidate's tenure dossier and the DTC report, the UTC is tending towards making a recommendation that differs from the recommendation of the DTC or that is negative to the candidate, or both, it shall notify in writing both the candidate and the chair of the DTC of its proposed recommendation and the reasons therefore, with a copy to the Secretary-General. Each of them, accompanied by an Advisor if they so wish, shall be given the opportunity to address the UTC in the presence of the other, prior to the UTC's arriving at its final recommendation to the Principal. Any new document to be submitted at such a meeting shall be distributed to all those who will be present at the meeting, at least 2 working days prior to the meeting, by the party submitting it.
- 7.26.1 When the chair of the DTC addresses the UTC, under circumstances where the chair is of the same opinion as that expressed in a minority report of the DTC, the chair shall be accompanied by another member of the DTC representing the majority opinion who may also address the UTC.
- 7.26.2 If, after having provided the candidate and the DTC with the opportunity to address it, the UTC concludes that the criteria for the grant of tenure have been met by the candidate, it shall recommend to the Principal that the candidate be granted tenure.
- 7.26.3 If, after having provided the candidate and the DTC with the opportunity to address it, the UTC concludes that the criteria for the grant of tenure have not been met by the candidate, it shall recommend to the Principal that the candidate not be granted tenure.
- 7.27 In respect of each candidate, the UTC shall communicate its final report and recommendation, with written reasons, to the Secretary-General as soon as possible but no later than April 30 of the year of tenure consideration, on forms provided by the University Secretariat. The Secretary-General shall forthwith transmit copies of the report

and recommendation to the Principal, the candidate, and the chair of the DTC.

- 7.27.1 It is the responsibility of the chair of the UTC to ensure that the deadline stipulated above is respected; nevertheless should the UTC fail to meet the delay specified, it shall remain seised of the matter before it.

***Discharge of Tenure Committees***

- 7.28 The DTC and the UTC shall be discharged in regard to a candidate's case when the Principal communicates her or his final recommendation thereon to the candidate, unless there has been recourse to an appeal, in which case the DTC and the UTC shall be discharged only upon the Appeals Committee rendering its final decision.

***Deliberations: The Principal***

- 7.29 The Principal shall decide each candidate's case for tenure solely on the basis of the candidate's tenure dossier, the report of the DTC and the report of the UTC.

- 7.29.1 If the Principal decides to recommend a candidate for tenure, she or he shall present the recommendation, together with the recommendation of the UTC, forthwith to the Board of Governors for final decision. The Board is not required to hear further evidence or representations.

- 7.29.2 If the Principal is tending towards a negative decision, the Principal shall, within 15 working days of receiving the recommendation from the UTC, notify the candidate in writing, with a copy to the Secretary-General. Prior to reaching a final decision, the Principal shall provide the candidate with full and substantive written reasons and an opportunity to appear before her or him, accompanied by an Advisor if the candidate so wishes, to address the Principal's concerns.

- 7.29.3 If the Principal is tending to disagree with the UTC's final recommendation against the grant of tenure, the Principal shall, within 15 working days of receiving the recommendation from the UTC, notify in writing both the candidate and the chair of the UTC of his or her proposed recommendation and the reasons therefore. Each of them, accompanied by an Advisor if they so wish, shall be given the opportunity to appear before the Principal to address the concerns identified.

- 7.29.4 Within 25 working days of the Principal receiving a recommendation from the UTC, the candidate shall be notified in writing of the final decision of the Principal against recommending a grant of tenure, with full and substantive reasons.

- 7.29.5 Should the Principal fail to meet the specified delays, she or he shall remain seised of the matter before her or him.

***Retention of Tenure Dossier***

- 7.30 The tenure dossier of each candidate shall be kept complete and intact until such time as the Board of Governors has granted Tenure, or the delays for appeal have elapsed, or the Appeals Committee has arrived at a decision.

***Refusal of Tenure for University Priorities***

- 7.31 Notwithstanding an assessment that a candidate meets the requirements for tenure, University priorities, as determined by Senate, which prevent the granting of tenure to the candidate, established and published before the candidate is considered for tenure, shall be sufficient reason to refuse the grant of tenure. In such cases, the candidate shall be automatically reappointed for an additional year without the possibility of renewal and shall receive from the Principal a written statement of appreciation and recognition that the candidate would have received tenure but for established University priorities.

***Appointments with Tenure***

- 7.32 A person holding an academic appointment at another university or scholarly institution may be appointed as Associate Professor or Professor with tenure if so approved by the Board of Governors on the recommendation of the Principal. A recommendation for appointment with Tenure shall originate from the relevant Departmental Chair(s) and Dean(s), following a recommendation from an appropriate committee.

- 7.32.1 The University Tenure Committee for Recruitment (hereafter "UTCR") shall be a committee of Senate, chaired by the Provost, and shall consist of one tenured member from each faculty of the University, appointed by Senate for a period of three years.

- 7.32.2 Quorum for the UTCR shall be three members in addition to the chair, and shall include one member from each of the faculties in which the candidate would hold appointment.
- 7.32.3 The UTCR shall consider only those candidates for tenure described in Section 7.32.
- 7.32.4 The UTCR shall make its recommendation to the Principal based on a dossier, submitted by the Dean(s) of the faculty (or faculties) concerned, and evaluated on the basis of the criteria described in Section 7.11 and 7.11.1.
- The dossier shall consist of:
- (i) the candidate's curriculum vitae, including a record of the candidate's research, scholarship and professional activities and contributions; a record of the candidate's teaching (including graduate and professional supervision as appropriate); and a record of the candidate's general contributions to university and scholarly communities;
  - (ii) written recommendations from appropriate departmental and/or faculty committees.
  - (iii) three confidential letters of reference from recognized authorities who are external to the University.
- The UTCR's recommendation shall be accompanied by reasons.
- 7.32.5 Notwithstanding the fact that recommendations for appointment with Tenure shall normally proceed to the UTCR, exceptionally, in cases where a recruitment candidate already holds tenure or its equivalent at an institution considered equivalent to McGill, the Provost may, upon a request with written reasons from the Dean, exercise the discretion normally vested in the UTCR. These written reasons submitted by the Dean must include a recommendation from the relevant academic recruitment committee to appoint the candidate with tenure.
- 7.32.5.1 Further, in all cases of decanal recruitment, the Principal shall exercise the discretion normally vested in the UTCR. In such cases, the Principal shall ensure that the committee charged with advising on the decanal appointment recommends that the candidate be appointed with tenure.
- 7.32.6 Where the Principal recommends an appointment to the rank of Associate Professor or Professor with Tenure, she or he shall present the recommendation, together with the recommendation of the UTCR or Dean, as applicable, forthwith to the Board of Governors for approval.
- 7.32.7 Decision of the Principal concerning appointments with tenure shall not be subject to appeal.
- Tenure for Retention**
- 7.33 A member of the full-time academic staff appointed to a tenure track position at McGill University who has an offer of a tenured or permanent position at another university (herein "candidate for retention") may be granted tenure and, if an Assistant Professor, promoted to the rank of Associate Professor, if so approved by the Board of Governors on the recommendation of the Principal.
- 7.33.1 A recommendation for the grant of tenure to a candidate for retention shall originate from the DTC and UTC of the relevant departments and the faculties and shall be on the forms provided by the University Secretariat.

- 7.33.2 The consideration of the case of a candidate for retention shall be conducted in accordance with the provisions of these regulations, with the following exceptions:
- (i) the internal package prepared by the candidate for retention shall be submitted by her or him directly to the chairs of the DTC and the UTC;
  - (ii) the external package prepared by the candidate for retention shall be submitted by her or him directly to the chair of the UTC who shall be responsible for soliciting the reports from the external evaluators and distributing a copy of the reports when received to the chair of the DTC;
  - (iii) the chair of the DTC shall communicate the DTC's report and recommendation concerning the candidate for retention directly to the chair of the UTC;
  - (iv) the UTC shall start its consideration of the case of the candidate for retention as soon as it receives the DTC report;
  - (v) notwithstanding any provision to the contrary, the delays in these regulations do not apply to the consideration of the case of a candidate for retention.

#### **Rights and Obligations of Tenured Staff**

- 7.34 An Assistant Professor who is granted tenure shall be promoted to the rank of Associate Professor.
- 7.35 A staff member awarded tenure under these regulations shall be appointed for an Indefinite Term that may not be terminated except for cause.
- 7.36 A member of the academic staff who is granted tenure shall maintain the high standards for which tenure is granted.

#### **Annual Tenure Meeting**

- 7.37 During the Fall term of each academic year, tenure candidates, members of DTCs, UTCs and UTCR, and other interested parties, shall be invited to a meeting to discuss general criteria for tenure and the operation of the tenure system. These meetings shall be chaired by the Secretary General.

## **SECTION 8. PROMOTION TO PROFESSOR**

#### **Timing of Consideration**

- 8.1 With a staff member's consent, a Departmental Chair may, at any time, recommend the Staff member to the departmental promotion committee for consideration for promotion to the rank of Professor.
- 8.2 A staff member who has held the rank of Associate Professor for a minimum of 5 years may, at any time, request the departmental promotion committee for consideration for promotion to the rank of Professor.
- 8.3 A staff member who has held the rank of Associate Professor for a minimum of 10 years and who reasonably believes that the departmental promotion committee may not be the appropriate body to consider his or her case for promotion may apply once to the Principal for consideration by a Statutory Selection Committee.

#### **Due Diligence**

- 8.4 It is the responsibility of candidates to prepare and pursue their case for promotion.

#### **Promotion Criteria**

- 8.5 A recommendation for promotion to Professor shall be based on the staff member's performance of Academic Duties, as outlined in Section 4.1.
- 8.5.1 Candidates for promotion must demonstrate:
- (i) a record of excellence in the area of research and/or other original scholarly activities, and professional activities, as evidenced by international recognition by peers;
  - (ii) a record of high quality teaching;
  - (iii) a substantial record of other contributions to the University and scholarly communities.

### **Promotion Dossier**

- 8.6 The promotion dossier shall consist of:
- (i) the candidate's personal statement, covering contributions to research, teaching and other contributions to the University and scholarly communities;
  - (ii) a curriculum vitae, including list of publications;
  - (iii) at least four confidential letters of reference from recognized authorities in the candidate's field who are external to the University;
  - (iv) the written recommendation of the chair of the departmental promotion committee.
  - (v) the written recommendation of the Dean, or the chair of the faculty promotion committee, where applicable.
- 8.6.1 The dossier submitted by the candidate shall be as described in (i) to (ii) above.
- 8.6.2 A candidate may supplement the dossier at any stage of the review process prior to the completion of the relevant stage.

### **External Evaluators**

- 8.7 The candidate and the Departmental Chair shall establish a list of 8 names of internationally recognized authorities, external to the University, who are qualified to evaluate the candidate's research and other original scholarly activities, professional activities, and other contributions to scholarly communities.
- 8.7.1 This list shall be submitted to the Dean, who shall obtain letters of reference from at least four external evaluators.
- 8.7.2 If the candidate and the Departmental Chair cannot agree on the choice of external evaluators, the Dean shall make up the list from names submitted by the candidate and Chair. The Dean shall provide the Chair and the candidate with a copy of this list.
- 8.7.3 All letters of reference solicited by the Dean shall be forwarded to the Secretary-General for inclusion in the candidate's dossier.

### **Process**

- 8.8 The case of a candidate for promotion to the rank of Professor shall be considered by:
- (i) a departmental promotion committee;
  - (ii) the Dean, who may consult a faculty committee chosen from the Professors within the faculty, following an established procedure; and
  - (iii) a Statutory Selection Committee, established in accordance with Article 3.4.3 of the *University Statutes*, which is advisory to the Principal.

#### ***Departmental Promotion Committee***

- 8.9 The members of the departmental promotion committee shall be chosen following an established procedure appropriate to the department.
- 8.9.1 The promotion committee shall normally be chaired by the Departmental Chair.
- 8.9.2 In faculties without departments there shall be an analogous promotion committee whose members shall be chosen from the members of the faculty following an established procedure.
- 8.9.2.1 The chair of the promotion committee in a faculty without departments shall be chosen by the Dean.
- 8.9.3 Where a candidate holds a joint appointment in two or more departments:
- (i) the promotion committee shall have representation from the relevant departments; and
  - (ii) the chair shall be determined by the Departmental Chairs.

#### ***Review by the Departmental Promotion Committee***

- 8.10 Where the Departmental Chair wishes to propose a candidate for consideration for promotion to Professor, he or she shall:
- (i) so notify the promotion committee; and
  - (ii) request the candidate to submit his or her dossier, in electronic form.



- 8.11 Where a candidate who meets the requirements of Section 8.2 wishes to be considered for promotion to Professor she or he shall:
- (i) so notify the Departmental Chair and the promotion committee; and
  - (ii) submit his or her dossier to the promotion committee, in electronic form.
- 8.12 The promotion committee shall prepare a written report containing:
- (i) the committee's recommendation to the Dean, with supporting reasons;
  - (ii) a statement of the membership of the committee including any changes in membership that may have occurred during the consideration of the candidate's case.
- 8.12.1 Where the promotion committee's recommendation is in favour of promotion, the committee's report shall be submitted to the Dean no later than 3 months after the receipt of the candidate's dossier, with a copy to the candidate.
- 8.12.2 Where the promotion committee declines to recommend the staff member for promotion, the staff member shall be so advised in writing, together with reasons, no later than 3 months after the receipt of the candidate's dossier.
- Review by the Dean***
- 8.13 On receipt of the promotion committee's report, the Dean may consult a faculty advisory committee prior to determining whether to recommend the establishment of a Statutory Selection Committee.
- 8.14 Where the Dean's recommendation is that a Statutory Selection Committee should be established, the Dean shall so recommend in writing to the Principal, including copies of the departmental and faculty promotion committee reports, with copies to the candidate and the Secretary-General.
- 8.14.1 The Dean's recommendation shall be communicated no later than 3 months from the receipt of the promotion committee report.
- 8.14.2 Where the Dean declines to recommend the establishment of a Statutory Selection Committee, the candidate shall be so advised in writing, together with reasons, no later than 3 months from the receipt of the promotion committee report.
- Review by Statutory Selection Committee***
- 8.15 Within 15 working days of receipt of the Dean's recommendation, the Secretary-General shall notify the Dean and the candidate in writing that a Statutory Selection Committee will be established.
- 8.15.1 The candidate shall promptly deposit with the Secretary-General:
- (i) the dossier, in electronic form;
  - (ii) any further written statement the candidate may wish to make in further support of the case for promotion.
- 8.16 Within 30 working days of receipt of the complete dossier, the Secretary General shall convene a Statutory Selection Committee.
- 8.16.1 The Statutory Selection Committee shall meet to consider the candidate's case for promotion and shall communicate its recommendation to the candidate, the Departmental Chair and Dean.
- 8.16.2 If the recommendation of the Statutory Selection Committee is negative, it shall provide written reasons to the candidate, the Departmental Chair and Dean.
- Process initiated by the candidate after 10 years***
- 8.17 A candidate who meets the requirements of Section 8.3 shall have the right to request the Principal directly to establish a Statutory Selection Committee to consider his or her case for promotion to Professor.
- 8.17.1 The candidate's request shall be in writing, copied to the Secretary-General, accompanied by:
- (i) the dossier, in electronic form; and
  - (ii) a statement of reasons in support of the request.
- 8.18 Within 30 working days of receipt of the candidate's request, the Principal shall notify the candidate in writing as to whether the candidate is eligible for consideration.
- 8.19 If the candidate is eligible, the Provost shall establish a list of at least eight (8) internationally recognized authorities external to the University.

- 8.19.1 The Provost shall make up the list from names submitted by the Departmental Chair, the candidate and the Dean, and shall submit a copy of this list to each of the foregoing.
- 8.19.2 The Provost shall promptly solicit a minimum of four (4) letters of reference.
- 8.20 The Principal shall promptly:
- (i) forward the candidate's request and supporting documentation to the departmental promotion committee, requesting the committee's written recommendation with respect to the candidate's promotion; and
- (ii) request the Secretary-General to establish a Statutory Selection Committee, which request shall be copied to the candidate and the Dean.
- 8.20.1 Within 3 months of receipt of the Principal's request, the promotion committee may submit a written report to the Principal containing:
- (i) the committee's recommendation, with reasons;
- (ii) a statement of the membership of the committee, including any changes in membership that may have occurred during the consideration of the candidate's case.
- The promotion committee report shall be copied to the candidate, the Dean and the Secretary-General.
- 8.20.2 In the event that no report is received from the promotion committee within the delay provided for, the Principal shall in writing promptly request the recommendation of the Dean.
- 8.20.3 Within 3 months of receipt of the promotion committee's recommendation or the Principal's request to the Dean, the Dean shall submit to the Secretary-General a written recommendation, including reasons, with a copy to the candidate.
- 8.20.4 The Statutory Selection Committee shall meet within 2 months of the Dean's recommendation and shall communicate its recommendation to the candidate.
- 8.20.4.1 If the recommendation of the Statutory Selection Committee is negative it shall provide written reasons to the candidate.

#### **Delays**

- 8.21 8.21 The months of July and August shall not be taken into account in calculating the delays specified in Section 8.

### **SECTION 9. TRANSITION PROVISIONS**

- 9.1 Effective September 1<sup>st</sup> 2012, the *Regulations Relating to the Employment of Tenure Track and Tenured Academic Staff* replace Sections 1 through 5 of the *Regulations Relating to the Employment of Academic Staff*, as well as Appendix A (Guidelines for Developing a Teaching Portfolio).
- 9.2 Candidates for reappointment, tenure and promotion whose year of consideration is 2013-2014 or later will be considered under the terms of the *Regulations Relating to the Employment of Tenure Track and Tenured Academic Staff*.

#### History:

Approved:		
Senate	May 16, 2012	Minute IIB3
Board of Governors	May 17, 2012	Minute 12.1
Senate	September 20, 2012	Minute IIB7
Board of Governors	September 27, 2012	Minute 10
Senate	May 15, 2013	Minute IIB1
Board of Governors	May 23, 2013	Minute 15
Senate	January 22, 2014	Minute IIB1
Board of Governors	February 27, 2014	Minute 14.1
Senate	February 18, 2015	Minute IIB3
Executive Committee	February, 26, 2015	Minute 12.1.1
Senate	May 11, 2016	Minute IIB1
Board of Governors	May 16, 2016	Minute 15.1

Senate  
Executive Committee

October 19, 2016  
October 28, 2016

Minute IIB3  
Minute 6.2

## Appendix A

### GUIDELINES FOR DEVELOPING A TEACHING PORTFOLIO

Along with documentation pertaining to research and service, dossiers for reappointment and tenure must include a teaching portfolio.<sup>1</sup> The intention of these guidelines is to assist professors in determining what kind of information and materials should be included.

The Teaching Portfolio is intended to be a concise compilation of selected information that systematically documents the effectiveness, scope, complexity, and individuality of an instructor's teaching, reflecting the progression of teaching over the last few years.

The Teaching Portfolio consists of a teaching statement and supporting appendices. Three main categories should be summarized: 1) teaching approach or 'philosophy'; 2) teaching responsibilities; 3) evidence of teaching effectiveness. A fourth category may be included as appropriate, dealing with teaching development and educational leadership activities.

The summary statement can refer the reader to the curriculum vitae and/or the appendices to the Teaching Portfolio for more detailed information.

#### A. TEACHING STATEMENT (recommended 5-10 pages)

##### 1) Teaching approach

This section presents the professor's approach to teaching and research supervision. Included here might be topics such as:

- rationale for particular teaching methods;
- learning goals for students;
- how student learning is evaluated and why;
- how research and the 'process of inquiry' is integrated into teaching;
- directions and plans for future development of teaching, in the light of teaching experiences.

##### 2) Teaching responsibilities

This section summarizes different teaching activities that the professor has been involved in, with a brief description of the professor's primary role and contributions.

Information should include:

- list of courses taught, dates, course level, enrolment, format. (This information can take the form of a table.)
- brief description of any new courses developed, if applicable, with rationale.
- supervision of graduate students and postdoctoral scholars.
- undergraduate supervision.
- student advising (unless this is included under 'Other contributions' in the dossier).

For student supervisees, include names, level (BA, BSc, MA, MSc, PhD, etc.), time period of supervision, type of supervision (theses, projects, internships, etc.), titles of theses, your role (supervisor, co-supervisor, committee member, etc.). This information can take the form of a table.

##### 3) Evidence of teaching effectiveness

This section presents a summary of evidence to help the reader evaluate the effectiveness of teaching.

Information should include:

- numerical ratings on course evaluations for all courses taught, compared with department or faculty norms. The suggested format is a table, showing the ratings for the first four questions on each course taught and the average ratings for the department or faculty. Summarize and interpret these results, showing how they shed light on your teaching effectiveness. For help in interpreting results of course evaluations, refer to the Teaching and Learning Services website at <http://www.mcgill.ca/tls/teaching/course-evaluations/interpretation>.
- evidence of effective postdoctoral, graduate and undergraduate supervision, where applicable.

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<sup>1</sup>

The type and amount of material expected will vary depending on whether the dossier is being prepared for reappointment or tenure. Candidates for promotion may also follow these guidelines in preparing their personal statement (see section 8.6) but a full teaching portfolio is not expected.

Other information could include:

- **one intact** set of students' written comments on course evaluations;
- formal recognition of teaching accomplishment (e.g. teaching awards);
- comments from peer observers;
- unsolicited letters from alumni and students;
- invitations to teach due to reputation;
- example of a course outline from **one** course, but **only** if this sheds light on teaching effectiveness.

The following items can be included in Section 3 or Section 4:

- measures taken in response to feedback on teaching;
- evidence of progress in teaching the same course over time;
- description of teaching development and improvement efforts.

#### **4) Teaching development and educational leadership (if applicable):**

This section presents a summary of activities undertaken to develop and enhance teaching, particularly in the broader context.

Information can include:

- development and sharing of teaching innovations, materials or strategies;
- advising and mentoring colleagues about teaching-related issues;
- TA mentoring (unless this is included under 'Other contributions' in the dossier);
- contributions through teaching support units, teaching committees, associations;
- organizing or facilitating seminars, workshops or conferences on teaching and learning;
- contributions to the development of policies on teaching and learning;
- teaching related publications – both discipline-specific and general.

#### **B. APPENDICES (maximum 10 pages, exclusive of students' written comments on course evaluations)**

In order not to overwhelm the reader, only documents which support the discussion presented in the dossier should be appended. All appendices should be labeled clearly and explicitly referenced in the main dossier.

## APPENDIX B Guidelines for Developing a Research Portfolio

This document is intended to *help and guide* professors in the preparation of a research portfolio and those who evaluate such portfolios. The research portfolio is an essential component of applications for reappointment, tenure and promotion to full professor. These guidelines are *advisory*; following them is not compulsory. Indeed, research portfolios will vary by professor, within and across disciplines. The orientation and emphasis of a research portfolio will also reflect one's career stage. Notably, an emphasis on international research output, impact and recognition will be a particularly important dimension of a research portfolio that forms part of an application for promotion to full professor.

Some academic activities will have a hybrid quality and may be properly qualified as research and/or as teaching or service. Candidates can determine where to include information about such activities, providing justification where the same activity is discussed in more than one part of a reappointment, tenure or promotion dossier.

Further guidance might be found in the accompanying document *Examples of the Range of Research Accomplishments, Recognition and Impacts Valued at McGill*. This document provides illustrations of the broad spectrum of basic and applied research activities meriting recognition.

### **A. RESEARCH STATEMENT (5-7 pages)**

A research portfolio should include a statement about the professor's scholarship that addresses:

- 1) The professor's **research program**
- 2) The professor's **research accomplishments, recognition and impact**

The statement should provide a narrative about the professor's scholarship that summarizes and contextualizes their research trajectory, creations and contributions. The statement should complement or elaborate on (rather than repeat) information otherwise available in the *curriculum vitae*.

#### **1) Research Program**

##### a) Themes or Axes of Research

This section presents a narrative of the professor's research to-date. It may:

- Describe the professor's key lines of research inquiry.
- Explain *why* these lines of research inquiry were pursued (in other words, describe why the professor viewed this research as meaningful and valuable, and what the professor aimed or aims to achieve and contribute in pursuing this research).
- Explain *how* these lines of research inquiry were pursued (methodological and theoretical frameworks), especially if novel methodological approaches are being developed.

##### b) Audiences and Interlocutors

This section discusses the groups that the professor envisages as the audiences and interlocutors who engage with, contribute to and benefit from the professor's research. Such groups may exist both within and beyond the academy and may include: professional bodies, industry, the artistic community, civil society or public actors), at the provincial, national and/or international levels.

Examples of ways in which a scholar reaches and engages with their target audience and interlocutors may include: journals targeted for publication; conferences attended; public performances and engagements; knowledge sharing and mobilization with constituencies outside of the academy.

c) Looking Ahead

Beyond discussing what a professor has accomplished to-date, a research statement should also articulate the professor's research goals for the coming period (five years is usually a foreseeable period for research planning). This part of the discussion may:

- Communicate future research goals in broad terms (e.g., intended research themes/lines of inquiry).
- Explain the link between future plans and past accomplishments or discoveries, remaining mindful that future research may legitimately move in new directions that differ from one's past scholarship.

## 2) Research Accomplishments, Recognition and Impact

a) Research Accomplishments

This section should include a statement of the professor's overall research productivity that sets out:

- The professor's most significant research accomplishments, creations or impacts, selecting those that best reflect the professor's research achievements and stature in their field. Each research accomplishment should be accompanied by a brief description explaining its significance. *Examples* of accomplishments or creations that can result from research activity include: a particular publication/group of publications; research prizes or awards; a research discovery or invention; an artistic production or performance; industry grants and contracts; the acquisition of professional credentials; research that has yielded notable patents; or innovations implemented in clinical or professional practice, policy; commercial activity or social ventures.
- A summary of the professor's overall record of productivity, including, for example:
  - publications, signalling the nature of the contribution to coauthored publications;
  - research funding record as a principal investigator, co-investigator or collaborator, signalling the purpose of the grant (research, operations, infrastructure) and the nature of the contribution or role within the funded research project;
  - patents sought and awarded.

Insofar as publications and funding are concerned, the emphasis will be on peer-reviewed scholarship and funding applications. Professors may also include information about *efforts* deployed to secure external, peer-reviewed funding (e.g., funding applications that were unsuccessful; participation in workshops designed to support successful grant applications).

It will further be helpful for a researcher to include information about the norms and standards of their discipline in regard to expectations about collaborative research publications and funding.

- Any research efforts that exemplify innovative, new directions in scholarship or methodologies, such as those involving extensive interdisciplinarity or that may have required extensive "start-up" resources to acquire data prior to publication and research dissemination.

This section may also speak to the professor's commitment to open science and research accessibility through efforts to render scholarly information (e.g., research data and findings, software code, experimental methods) publicly available and transparent.

b) Research Recognition within and beyond the Scholarly Community

This section will describe how the professor's scholarship is recognized at the local, provincial, national and international levels. As noted above, in most cases, international recognition should be emphasized in research portfolios submitted as part of applications for promotion to full professor. A professor's narrative may refer to the following as examples of forms of research recognition:

- Invitations to contribute to edited collections
- Invitations to participate in scholarly conferences and workshops, noting keynote invitations
- Invitations to spend time at a peer institution as a visiting professor
- Invitations to serve as a peer-reviewer for journals or granting agencies, including *ad hoc* reviewing of journal articles, funding applications or scholarly awards
- Participation in research networks, consortia or research teams, identifying the professor's role within and contribution to these research groups
- Invitation to serve as an expert or specialist by public, private or international organizations
- Invited seminars and workshops
- Consultancies for industry, government and non-governmental organizations
- Reviews of the professor's work in scholarly journals or in the press/media
- Prizes and awards
- Election or appointment as a member or leader of a scholarly society

c) Research Impact

A professor's description of their research impact documents the influence that their scholarship has wielded, as identified by objective markers. To this end, one may draw on a range of indicators that demonstrate the esteem in which the professor's research is held in their field. Such indicators may include:

- The scope and range of scholarship that draws on and benefits from the professor's research. For professors in artistic disciplines, this may translate into identifying instances of "*reprises*", that is, a remounting or re-performance of one's own works by other scholars or artists.
- The professor's citation record. Despite critiques of the potential shortcomings of citation indices as measures of research impact, these remain important metrics within particular disciplines.
- Impacts of the professor's research on teaching and training students and trainees (e.g., publications used as teaching materials or as central to graduate projects).
- Evidence of adoption of varied teaching strategies inspired by a professor's research on pedagogical approaches within their discipline.
- Effects of the professor's research outside of the academy, for example, in clinical practice, industry, government or civil society sectors, including notable technological or policy innovations, commercial activity or social ventures.
- Knowledge translation, mobilization and community engagement activities involving the professor's research, which may include public and community collaborations, workshops or symposia.

**B. APPENDICES (no page limit)**

Appendices should support and be germane to the Research Statement. They should be clearly labeled and organized. They may include:

- 1) A list of publications in standard citation style (may be omitted if this list is part of the submitted CV).
- 2) Copies (electronic) of, or active hyperlinks to, publications.
- 3) Other materials that may be relevant (e.g., reviews of the professor's written or other work; artistic portfolios or recordings; a summary of innovation and entrepreneurial activity, including patent applications, patents, commercial or social enterprises launched).



## **APPENDIX C**

### **Guidelines for Developing a Service Portfolio**

The present document is intended to help members of the academic staff in the preparation of their portfolios related to their service activities, formally referred to as “other contributions to the University and scholarly communities.” At McGill, service is a core academic duty, alongside the duties of teaching and research. Hence, a service portfolio, reflecting contributions to committees both internal and external to the University, is an essential component of applications for reappointment, tenure and promotion.

These guidelines are advisory; following them is not compulsory. Indeed, services portfolios will vary from one colleague to the next, within and across disciplines. The orientation and emphasis of a service portfolio will also vary depending on career stage. For example, a pre-tenure academic colleague will not be expected to hold the same level of service leadership or responsibility as a colleague who is applying for promotion to the rank of full professor or full librarian.

Academic staff members are typically called upon to serve the University community not only by their respective Chairs, Directors and Deans, but also from other areas of the Faculty and University. Moreover, other forms of service contributions that reflect leadership and motivation to make a difference within academic communities will arise where staff members initiate activities themselves or in collaboration with others. Such contributions merit recognition and value.

Some academic activities will have a hybrid quality and may be properly qualified as service and/or as teaching or research. Candidates can determine where to include information about such activities, providing justification where the same activity is discussed in more than one part of a reappointment, tenure or promotion dossier.

#### **A. STATEMENT OF SERVICE CONTRIBUTIONS (approximately 4 pages)**

A statement of service should provide a narrative about the candidate’s approach and commitment to such work, notably by;

- demonstrating how the candidate’s contributions exhibit:
  - a sense of citizenship,
  - initiative and capacity for leadership,
  - the community’s confidence in the candidate’s capacities, commitment, integrity and judgment; and/or
  - value and reach of service contributions, notably by explaining their influence and impact on the University and wider communities;
  
- describing whether and how a candidate’s service activities have influenced their teaching and research, and vice versa.

It is often helpful to committees charged with evaluating service portfolios if the latter is structured to include separate sections addressing contributions to: (i) the department and Faculty, (ii) the University, and (iii) the wider scholarly community.

Within each of these sections, candidates should for each service activity:

- explain the nature of the mandate/role
- identify the term or duration of the mandate/role
- briefly describe the work undertaken and its contribution or impact, including efforts that demonstrate leadership and initiative

### Contributions to the Department and Faculty

Here, service activities may include:

- Administrative appointments (e.g., Director of a Centre or Institute; Vice, Associate or Assistant Dean, Chair)
- Membership or leadership in standing or *ad hoc* committees of the department or faculty
- Initiatives to establish new working groups or committees within the department or faculty
- Creation or convening department or faculty workshops, research groups, or lecture or speakers' series
- Student service or student support roles (e.g., Graduate Program Director, Student Advising, Disciplinary Officer, Faculty Advisor to a journal or research publication housed within the Department or Faculty)
- Service as a mentor within unit- or Faculty-led mentorship programs
- Organizing or convening seminars, conferences or colloquia within the Department or Faculty

The foregoing are examples, and do not comprise an exhaustive list.

### Contributions to the University

Here, service activities may include:

- University governance roles (e.g., membership in Senate or the Board of Governors)
- Membership or leadership in standing or *ad hoc* committees of the University (examples are abundant, and may include committees related to: academic programs, research, equity, student life and learning, faculty development or promotion, campus resources/space/planning, alumni relations)
- Service on Senate-nominated and appointed committees (e.g., Committee on Student Discipline, University Tenure Appeals Committee, Committee on Staff Grievances and Disciplinary Procedures)
- Service as an Assessor appointed under the *Policy on Harassment, Sexual Harassment & Discrimination Prohibited by Law*
- Service on cyclical unit review committees
- Initiatives to establish or lead centres, institutes, working groups or committees within the University
- Service as a mentor within a University-led mentorship program

- Service as an examiner on theses or juries for McGill students (a candidate may decide that this is more properly placed in their Teaching Portfolio)
- Service as a pro-dean on doctoral defences
- Organizing or convening research panels, conferences or colloquia within the University
- Leadership and work within the faculty association (MAUT)

The foregoing are examples, and do not comprise an exhaustive list.

#### Contributions to the Wider Scholarly Community

Here, service activities may include:

- Membership or leadership in inter-university academic committees
- Membership or leadership in disciplinary or professional committees
- Membership or leadership in conference organizing committees
- Membership or leadership in committees within the private, public or nongovernmental sector, where the candidate is called upon to bring their academic expertise and insights
- Community engagement, particularly opportunities arising from the candidate's expertise and experience, for example, participation in community-based events (whether within the academy or outside) or engagement with the media, all furthering knowledge dissemination
- Service as a reviewer on tenure and promotion dossiers from institutions other than McGill
- Unit reviewer for programs, departments or institutes outside of McGill
- Membership in journal editorial committees
- Service as an examiner on theses or juries for students outside of McGill (although a candidate may feel this is more properly placed in their Teaching Portfolio)
- Membership in juries convened to assess research funding applications
- Peer review for granting councils, journals, publishers or conference proceedings

The foregoing are examples, and do not comprise an exhaustive list.